GW & WADE ASSET MANAGEMENT CO. - Held NMS Stocks and Options Order Routing Public Report

Generated on Fri Apr 07 2023 08:57:56 GMT-4 EDT

1st Quarter, 2023

January 2023

S&P 500 Stocks

Summary									
Total Non-Directed	Non-Directed	Total Market	Market Orders as	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of Nor
Orders	Orders as %	Orders	% of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
285	100.00	221	77.54	23	8.07	7	2.46	34	11.93

Venues

Vertex Porture Derivative service Porture Derivative service Porture Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derivative Derive Derivative Derive Derive Derivative Derivative D	Venue - Non-directed	Non Director	Non Director	Market Orders	Market Order-(%)	Markatable	Marketable Limit	Non-Marketable Limit	Non Markatable Limit	Other Orders	Other Orders(%)	Not Doumont	Net Payment	Net Deumsurt	Not Doumout	Not Doumant	Not Doumant	Not Doumout	Not Doumout
Image: Securities				Iviarket Orders						Other Orders	Other Orders(%)							1 '	
Image: Second	Order Flow	orders	Orders(%)			Limit Orders	Orders(%)	Orders	Orders(%)										
Image: Securities												Warket Orders(05D)							
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Include Securities International																			
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INC.(INTL) 3 1.04 3 1.36 0 0.00 0 0.00 0 0.00 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0<	Exchange(EDGX)	3	1.04	0	0.00) 0	0.00	3	30.00		0 0.00) () C) (0 0	0	0) () 0
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		2	0.69	0	0.00) 0	0.00	2	20.00		0 0.00) () C) (0 0	0	0) (<i>i</i> 0
LL(UBS) 2 0.69 2 0.90 0 0.00 0 0.00 0 0.00 0 0.00 0 0 0		-		-												-	-		
	LLC(OBSS)	2	0.69	2	0.90	0	0.00	(0.00		0.00) (C C) (J 0	0	0) () 0

January 2023

Non S&P 500 Stocks

otal Non-Directed rders	Orders as % of All Orders		% of Non- Directed Orders	s Total Marketable Limit Orders	Marketable Limit Orders as % of Non- Directed Orders		Non-Marketable Limit Orders as % of Non- Directed Orders	Total Other Orders	Other Orders as % of Nor Directed Orders									
730 enues) 100.00	/ 3	82 52.3	3 227	7 31.10	30	4.11	9	1 12.47									
enue - Non-directed rder 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)	for Marketabl Limit	d Paid/Received			Paid/Received for Other Orders(USD)	
adel Securities (CDRG)	254	31	95 14	3 38.74	4 69	30.67		5 14.7	1 32	20.7	8 (יייייי ז	0) () () 0	0
RTU Americas,	20		55 11	5 5017		50107				2007			-			, .	0	,
C(NITE)	230	28	93 9	5 24.87	7 76	33.78	(0.0	0 59	38.3	1 (0	0) (0 0) 0	J
Execution Services, (ETMM)	152	. 19	12 8	7 22.77	7 63	28.00		5.8	8 (0.0	0 0		`	0) () ()) 0	0
tinet	152	. 19	12 0	22.1	/ 03	28.00	4	5.8	o (0.0	0 0		J	0	, (, ,	0)
ockCross(BLKX)	63	. 7	92	0.00	o c	0.00	(0.0	0 63	40.9	1 ()	0) () 0) 0	з
e Street Capital,																		
C(JNST)	46	5 5	79 3	1 8.12	2 14	6.22	1	2.9	4 0	0.0	0 0	()	0) () () 0)
ooe EDGX US Equities change(EDGX)	15	5 1	89	0.00	o o	0.00	15	5 44.1	2 0	0.0	0 0		D	0) () 0) 0	C
o Sigma Securities, :(SOHO) meX Financial	14	1	76 1	3 3.40	0 1	0.44	(0.0	0 0) 0.0	0 0)	0) () 0) 0	C
(INTL) SDAQ Execution	7	0	88	5 1.57	7 1	0.44	(0.0	0 0	0.0	0 0		0	0) (0 0	0 0	C
vices, LLC(NSDQ) v York Stock	e	6 0	75	0.00	o 0	0.00	e	5 17.6	5 (0.0	0 0)	0) () ()) 0	C
hange(NYSE)			38	0.00		0.00	-	8.8	2 (0.0	0 0		`	0) () () 0	0

January 2023

Option Contracts

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders as	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of Nor
Orders	Orders as %	Orders	% of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
	0.00	0	0.00	0	0.00	0	0.00	0	0.00

Venues

Venue - Non-directed	Non-Directed	Non-Directed	Market Orders	Market Orders(%)	Marketable	Marketable Limit	Non-Marketable Limit	Non-Marketable Limit	Other Orders	Other Orders(%)	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment
Order Flow	Orders	Orders(%)			Limit Orders	Orders(%)	Orders	Orders(%)			Paid/Received for	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received
											Market Orders(USD)	for Market	for Marketable	for	for Non-	for Non-	for Other	for Other
												Orders(cents per	Limit	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
												hundred shares)	Orders(USD)	Limit	Limit	Limit		per hundred
														Orders(cents	Orders(USD)	Orders(cents		shares)
														per hundred		per hundred		
														shares)		shares)		

February 2023

S&P 500 Stocks

Summary

tal Non-Directed ders 498	Orders as % of All Orders		Market Orders a % of Non- Directed Orders 86 57.4:	Limit Orders	% of Non- Directed Orders	Limit Orders	Non-Marketable Limit Orders as % of Non- Directed Orders 2.8	Total Other Orders	Other Orders as % of Nor Directed Orders 36.55									
nues nue - Non-directed der Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market 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)	Paid/Received for Marketabl Limit	Marketable Limit	Paid/Received for Non- Marketable Limit Orders(USD)	Paid/Received	d Paid/Received for Other Orders(USD)	
tadel Securities C(CDRG)	238	42	81 104	4 34.67	, , , , , , , , , , , , , , , , , , , ,	43.75		1 2.22	. 126	64.29			0) () (
RTU Americas,	250	- 42	81 104	+ 54.0.	/ /	43.75		1 2.2.	120	0 04.29		0	U	0 () () (· · · ·	J
C(NITE)	145	26	08 9:	1 30.33	3 3	18.75		0.00	51	26.02		0 0	0	0 0) () () (o
Execution Services,																		
(ETMM)	74	13	31 69	23.00) 2	12.50		3 6.82		0.00		0 0	0	0 () () (о ()
DAQ Execution /ices, LLC(NSDQ)	36		47 (0.00) (0.00	3	6 81.82	2 0	0.00		0	0	0 () () (,	0
e Street Capital,	50		4/	0.00	5 0	0.00	3	0 01.02		0.00		0	0	0 (, (, (· · · ·	J
JNST)	34	6	12 30	10.00	0 4	25.00		0 0.00) (0.00		0	0	0 0) () (0
net																		
kCross(BLKX)	14	2	52	0.00	o c	0.00		0.00) 14	7.14		0 0	0	0 () () () (0
Securities,																		
UBSS)	7	' 1	26	2 0.67	7 0	0.00		0.00) 5	5 2.55		0 0	0	0 0) () (, (3
Sigma Securities,																		
(SOHO)	4		72	1.33	3 0	0.00		0 0.00) (0.00		0	0	0 0) () ()	0
,		-										-	-					
e EDGX US Equities																		
hange(EDGX)	3	s 0	54 (0.00	0 0	0.00		3 6.82	! (0.00		0 (0	0 0) () () (ð
mbers																		0
hange(MEMX)	1	. 0	18 0	0.00) O	0.00		1 2.27	· (0.00		0 0	0	0 () () (1 (0

February 2023

Non S&P 500 Stocks

Summary

Orders	Non-Directed Orders as % of All Orders	Orders		Limit Orders	Marketable Limit Orders as % of Non- Directed Orders	Limit Orders	Non-Marketable Limit Orders as % of Non- Directed Orders		Other Orders as % of Non- Directed Orders
406	100.00	210	51.72	68	16.75	21	5.17	107	26.35

Venues

	Non-Directed Orders	Non-Directed Orders(%)	Market Orders		Marketable Limit Orders		Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Paid/Received for Marketable Limit	Paid/Received for	Paid/Received for Non- Marketable Limit Orders(USD)	for Non-		d Paid/Received for Other
LLC(CDRG)	154	29.56	87	38.67	29	40.28	C	0.00	38	3 27.74) () () () C	0 0	(о с
VIRTU Americas,																	
LLC(NITE) G1 Execution Services,	151	28.98	61	27.11	. 21	29.17	0	0.00	69	50.36) () () ()) () 0	() 0
LLC(ETMM)	65	12.48	44	19.56	5 17	23.61	4	4.60	C	0.00) () () C) C	0	(0 C
New York Stock Exchange(NYSE)	58	11.13	0	0.00) 0	0.00	58	66.67	c	0.00) () () () (0	(0
Instinet	56	11.15	0	0.00	, ,	0.00	50	00.07	L. L	0.00	, (, () (, L	0	(, 0
BlockCross(BLKX)	30	5.76	0	0.00	0 0	0.00	C	0.00	30	21.90) () () C) C	0 0	(ο (
Jane Street Capital, LLC(JNST)	23	4.41	18	8.00) 5	6.94	0	0.00	C	0.00) () () C) C	0 0	(0 C
Cboe EDGX US Equities	10	4.02		0.00			10										
Exchange(EDGX) NASDAQ Execution	10	1.92	0	0.00) 0	0.00	10	11.49	C	0.00) () () ()) () 0	() 0
Services, LLC(NSDQ)	8	1.54	0	0.00	0 0	0.00	8	9.20	C	0.00) () () C) C	0 0	() 0
Two Sigma Securities, LLC(SOHO) Members	8	1.54	8	3.56	i 0	0.00	C	0.00	C	0.00) () () C) C	0 0	(0 0
Members Exchange(MEMX)	7	1.34	0	0.00) 0	0.00	7	8.05	C	0.00) () () () C	0 0	(0 C

February 2023

Option Contracts

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders as	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of Nor
Orders	Orders as %	Orders	% of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
	0.00	0	0.00	0	0.00	0	0.00	0	0.00

Venues

Venue -	- Non-directed	Non-Directed	Non-Directed	Market Orders	Market Orders(%)	Marketable	Marketable Limit	Non-Marketable Limit	Non-Marketable Limit	Other Orders	Other Orders(%)	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment
Order Fl	low	Orders	Orders(%)			Limit Orders	Orders(%)	Orders	Orders(%)			Paid/Received for	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received
												Market Orders(USD)	for Market	for Marketable	for	for Non-	for Non-	for Other	for Other
													Orders(cents per	Limit	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
													hundred shares)	Orders(USD)	Limit	Limit	Limit		per hundred
															Orders(cents	Orders(USD)	Orders(cents		shares)
															per hundred		per hundred		
															shares)		shares)		

March 2023

S&P 500 Stocks

					1													
	Non-Directed			Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of Nor	1.								
	Orders as %	Orders	% of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Directed Orders									
	of All Orders		Directed Orders		% of Non-		Directed Orders											
					Directed Orders													
213	100.00	152	71.36	5 9	9 4.23	7	3.29	45	21.13	3								
enues																		
		Non-Directed	Market Orders	Market Orders(%)		Marketable Limit		Non-Marketable Limit	Other Orders	Other Orders(%)	Net Payment	Net Payment	Net Payment				1 '	
order Flow	Orders	Orders(%)			Limit Orders	Orders(%)	Orders	Orders(%)				Paid/Received		d Paid/Received				
											Market Orders(USD)		for Marketab		for Non-	for Non-	for Other	for Other
												Orders(cents per		Marketable	Marketable	Marketable	Orders(USD)	
												hundred shares)	Orders(USD)	Limit	Limit	Limit		per hundred
															Orders(USD)	Orders(cents		shares)
														per hundred		per hundred		
														shares)		shares)		
tadel Securities																		
LC(CDRG)	86	37.72	44	28.95	5 1	11.11	0	0.00	43	82.00) (C	0	0 0) () () (0
IRTU Americas,																		
LC(NITE)	60	26.32	52	34.21	1 4	44.44	0	0.00	4	8.00) (C	0	0 0) () () (0
1 Execution Services,																		
LC(ETMM)	43	18.86	5 39	25.66	5 3	33.33	1	5.88	(0.00) (0	0	0 0) () () (0
ane Street Capital,																		
LC(JNST)	13	5.70) 12	2 7.89	9 1	11.11	0	0.00	(0.00) (0	0	0 0) () () (0
ew York Stock																		
kchange(NYSE)	9	3.95	; C	0.00	0 C	0.00	9	52.94	(0.00) (0	0	0 0) () () (0
nstinet																		
lockCross(BLKX)	5	2.19) C	0.00	0 C	0.00	0	0.00	!	5 10.00) (D	0	0 0) () () (0
ASDAQ Execution																		
ervices, LLC(NSDQ)	4	1.75	; C	0.00	0 C	0.00	4	23.53	(0.00) (D	0	0 0) () () (0
wo Sigma Securities,																		
с(ѕоно)	4	1.75	5 4	2.63	3 0	0.00	0	0.00	(0.00) (C	0	0 0) () () (0
boe EDGX US Equities																		
change(EDGX)	2	0.88	s C	0.00	0 C	0.00	2	11.76	(0.00) (D	0	0 0) () () (0
embers																		

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Non S&P 500 Stocks

Summary	
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Juninary											
	Total Non-Directed	Non-Directed	Total Market	Market Orders as	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of Non-	
	Orders	Orders as %	Orders	% of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Directed Orders	
		of All Orders		Directed Orders		% of Non-		Directed Orders			
						Directed Orders					
	291	100.00	149	51.20	64	21.99	24	8.25	54	18.56	

Venues

	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market 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)	Paid/Received for Marketable Limit	Paid/Received	Paid/Received for Non- Marketable Limit	for Non-	Paid/Received	Net Payment d Paid/Received for Other Orders(cents per hundred shares)
LLC(NITE)	99	32.35	41	27.52	20	31.25	c	0.00	38	3 56.72	2 0) () () () (0	(0 C
Citadel Securities LLC(CDRG) G1 Execution Services,	98	32.03	48	32.21	. 27	42.19	8	3 30.77	1	5 22.39) () () () () () 0	C) 0
LLC(ETMM)	50	16.34	39	26.17	9	14.06	2	7.69	(0.00) () () () () (0	() 0
Jane Street Capital, LLC(JNST) Instinet	19																(
BlockCross(BLKX)	13	4.25	U	0.00	0	0.00	L	0.00	13	3 19.40) () () () () (0 0	l) 0
Cboe EDGX US Equities Exchange(EDGX)	8	2.61	0	0.00	0	0.00	8	3 30.77	ſ	0.00) () () () C) () 0	C) 0
Two Sigma Securities, LLC(SOHO) NASDAQ Execution	6	1.96	4	2.68	1	1.56	1	3.85	(0.00) () () () C) () 0	C) 0
Services, LLC(NSDQ)	5	1.63	0	0.00	0	0.00	5	5 19.23	(0.00) () () () () (0 0	() 0
UBS Securities, LLC(UBSS) StoneX Financial	4	1.31	3	2.01	. 0	0.00	C	0.00	:	1 1.49) () () () C) (0 0	C) 0
INC.(INTL)	2	0.65	1	0.67	1	1.56	C	0.00	(0.00) () () () C) (0 0	() 0

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Option Contracts

Summary

Ī	otal Non-Directed	Non-Directed	Total Market	Market Orders as	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of Nor
0	Orders	Orders as %	Orders	% of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Directed Orders
		of All Orders		Directed Orders		% of Non-		Directed Orders		
						Directed Orders				
	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00

Venues

Venue - Non-directed	Non-Directed	Non-Directed	Market Orders	Market Orders(%)	Marketable	Marketable Limit	Non-Marketable Limit	Non-Marketable Limit	Other Orders	Other Orders(%)	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment	Net Payment
Order Flow	Orders	Orders(%)			Limit Orders	Orders(%)	Orders	Orders(%)			Paid/Received for	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received
											Market Orders(USD)	for Market	for Marketable	for	for Non-	for Non-	for Other	for Other
												Orders(cents per	Limit	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
												hundred shares)	Orders(USD)	Limit	Limit	Limit		per hundred
														Orders(cents	Orders(USD)	Orders(cents		shares)
														per hundred		per hundred		
														shares)		shares)		
																		1