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

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3rd Quarter, 2023

July 2023

S&P 500 Stocks

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
12	100.00	7	58.33	1	8.33	4	33.33	0	0.00

Venues

		Non-Directed Orders(%)	Market Orders	Market Orders(%)			Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Paid/Received for Marketable	Marketable	Paid/Received for Non- Marketable Limit Orders(USD)	Paid/Received	Paid/Received for Other Orders(USD)		
New York Stock Exchange(NYSE)	٥	40.91		0.00	0	0.00	C	64.29		0.00	0) (0		,	,
Citadel Securities	3	40.91		0.00	0	0.00	3	04.23		0.00	·	,	,	, 0	0	Ü			
LLC(CDRG)	5	22.73	3	42.86	1	100.00	1	. 7.14		0.00	0) 0) (0	0	0	C) (j
Cboe EDGX US Equities																			
Exchange(EDGX)	2	9.09) (0.00	0	0.00	2	14.29	(0.00	0) () () 0	0	0	C	, (j
G1 Execution Services, LLC(ETMM)	2	9.09		14.29	0	0.00		. 7.14		0.00						0			,
VIRTU Americas,	2	9.09	, ,	14.29	U	0.00		. 7.14		0.00	·	,	,	, ,	U	U	·	,	
LLC(NITE)	2	9.09) 2	2 28.57	0	0.00	C	0.00	(0.00	0) 0) (0	0	0	C) (j
Jane Street Capital,																			
LLC(JNST)	1	4.55	. 1	14.29	0	0.00	C	0.00	(0.00	0) () C	0	0	0	C) (j
Members Exchange(MEMX)	1	4.55	, (0.00	0	0.00	1	. 7.14		0.00	0) () () 0	0	0	C))

Non S&P 500 Stocks

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
18	100.00	14	77.78	1	5.56	3	16.67	0	0.00

Venues

7011400																		
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/Receive
											Market Orders(USD) for Market	for	for	for Non-	for Non-	for Other	for Other
												Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
												hundred shares)	Limit	Limit	Limit	Limit		per hundred
													Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)
														per hundred		per hundred		
														shares)		shares)		
Citadel Securities																		
LLC(CDRG)	7	38.89	9 7	7 50.00	0 0	0.00)	0.00		0.0	0	0 () (0	0	0	0	j f
VIRTU Americas,																		
LLC(NITE)	5	27.78	3 4	4 28.57	7 1	100.00)	0.00		0.0	0	0 () (0	0	0	0	j f
G1 Execution Services,																		
LLC(ETMM)	2	11.11	1 2	2 14.29	9 0	0.00)	0.00		0.0	0	0 () (0	0	0	0	j f
Cboe EDGX US Equities																		
Exchange(EDGX)	1	5.56	5 (0.00	0 0	0.00	1	1 33.33		0.0	0	0 () (0	0	0	0	j f
Jane Street Capital,																		
LLC(JNST)	1	5.56	5 1	1 7.14	4 C	0.00)	0.00		0.0	0	0 () (0	0	0	0	, (
Members																		
Exchange(MEMX)	1	5.56	5 (0.00	0 0	0.00	1	1 33.33		0.0	0	0 () (0	0	0	0	, (
NASDAQ Execution																		
Services, LLC(NSDQ)	1	5.56	5 (0.00	0 0	0.00)	1 33.33		0.0	0	0 () () 0	0	0	0	,

July 2023

Option Contracts

Summary

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

_	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	for	for Non-	for Non-	for Other	for Other
													Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
													hundred shares)	Limit	Limit	Limit	Limit		per hundred
														Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)
															per hundred		per hundred		
															shares)		shares)		

S&P 500 Stocks

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
17	100.00	16	94.12	0	0.00	1	5.88	0	0.00

Venues

Venue - Non-directed	Non Directed	Non-Directed	Market Orders	Market Orders(%)	Marketable	Marketable Limit	Non-Marketable Limit	Non-Marketable Limit	Othor Ordors	Other Orders(%)	Net Payment	Net Payment	Net Payment	Net Payment	Not Downont	Not Doumont	Not Downsont	Not Doumon	
			iviarket Orders	iviarket Orders(%)					Other Orders	Other Orders(%)							•		
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/Receive	d
											Market Orders(USD)	for Market	for	for	for Non-	for Non-	for Other	for Other	
												Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents	
												hundred shares)	Limit	Limit	Limit	Limit		per hundred	
												-	Orders(USD)	Orders(cents	-	Orders(cents		shares)	4
													Orders(U3D)	-		-		Silai es)	4
														per hundred		per hundred			4
City I I Company														shares)		shares)			4
Citadel Securities																			
LLC(CDRG)	6	33.33	6	37.50) 0	0.00	(0.00) (0.00) () () (0 0	0	0	0)	0
Jane Street Capital,																			
LLC(JNST)	4	22.22	. 4	4 25.00) 0	0.00	(0.00) (0.00) () () (0 0	0	0	0)	0
VIRTU Americas,																			
LLC(NITE)	4	22.22	! 3	3 18.75	5 0	0.00		50.00) (0.00) () () (0 0	0	0	0)	0
G1 Execution Services,																			
LLC(ETMM)	3	16.67	, 3	3 18.75	5 0	0.00	(0.00) (0.00) () () (0 0	0	0	0)	0
NASDAQ Execution																			
Services, LLC(NSDQ)	1	5.56	5 (0.00) 0	0.00	. 1	50.00) (0.00) () () (0 0	0	0	0)	0

Non S&P 500 Stocks

Summary

	Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
	Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders
		of All Orders		Directed Orders		% of Non-		Directed Orders		
						Directed Orders				
,	6	100.00	6	100.00	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	1
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/Receive	d
											Market Orders(USD)	for Market	for	for	for Non-	for Non-	for Other	for Other	4
												Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents	4
												hundred shares)	Limit	Limit	Limit	Limit		per hundred	4
													Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)	4
														per hundred		per hundred		1	4
														shares)		shares)		A	4
Jane Street Capital,																			
LLC(JNST)	2	33.33	3 2	2 33.33	3 0	0.00	(0.00	(0.0) (0	0	0	0	0	0	1	J
VIRTU Americas,																			
LLC(NITE)	2	33.33	3 2	2 33.33	3 0	0.00	(0.00	(0.0) (0	0	0	0	0	0	1	J
Citadel Securities																			
LLC(CDRG)	1	16.67	' 1	16.67	7 0	0.00	(0.00	(0.0) (0	0	0	0	0	0	1	J
G1 Execution Services,																			
LLC(ETMM)	1	16.67	' 1	16.67	7 0	0.00	(0.00		0.0) (0	0	0	0	0	0	j	J

August 2023

Option Contracts

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		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-d	directed N	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	О	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	for	for Non-	for Non-	for Other	for Other
													Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
													hundred shares)	Limit	Limit	Limit	Limit		per hundred
														Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)
															per hundred		per hundred		
															shares)		shares)		

September 2023

S&P 500 Stocks

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
	100.00	4	100.00	0	0.00	C	0.00	0	0.00

Venues

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	A
Order Flow	Orders	Orders(%)			Limit Orders	Orders(%)	Orders	Orders(%)			Paid/Received for	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	Paid/Received	l Paid/Receive	d
											Market Orders(USD	for Market	for	for	for Non-	for Non-	for Other	for Other	4
												Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents	4
												hundred shares)	Limit	Limit	Limit	Limit	/	per hundred	4
													Orders(USD)	Orders(cents	Orders(USD)	Orders(cents	/	shares)	4
														per hundred		per hundred		Al 1	4
														shares)		shares)		4	4
Citadel Securities																			
LLC(CDRG)	2	50.00	0 2	2 50.00) (0.00	(0.00)	0 0.0	00) () C	0	0	0	, 0)	0
Jane Street Capital,																			
LLC(JNST)	1	. 25.0	0 :	1 25.00) (0.00	(0.00)	0 0.0	00) () (0	0	0	, 0	J	0
VIRTU Americas,																			
LLC(NITE)	1	25.0	0 :	1 25.00) (0.00		0.00)	0 0.0	00) () () 0	0	0) (a	0

September 2023

Non S&P 500 Stocks

Summary

Total Non-Directed	Non-Directed	Total Market	Market Orders	Total Marketable	Marketable	Total Non-Marketable	Non-Marketable Limit	Total Other Orders	Other Orders as % of
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders
	of All Orders		Directed Orders		% of Non-		Directed Orders		
					Directed Orders				
15	100.00	15	100.00	0	0.00	0	0.00	0	0.00

Venues

* C114C5																			
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 Paymen	4
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/Receiv	d
											Market Orders(USD	for Market	for	for	for Non-	for Non-	for Other	for Other	4
												Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents	4
												hundred shares)	Limit	Limit	Limit	Limit		per hundred	4
													Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)	4
														per hundred		per hundred		A 1	4
														shares)		shares)			4
Citadel Securities																			
LLC(CDRG)	7	46.67	7	7 46.67	' 0	0.00	(0.00)	0.0	0 (0) (0	0	0	0	I	0
G1 Execution Services,																			
LLC(ETMM)	4	26.67	7	4 26.67	' 0	0.00	(0.00	1	0.0	0 (0) C	0	0	0	0	1	0
Jane Street Capital,																			
LLC(JNST)	2	13.33	3 2	2 13.33	3 0	0.00	(0.00)	0.0	0 (0) C	0	0	0	0	1	0
VIRTU Americas,																			
LLC(NITE)	2	13.33	3 2	2 13.33	3 0	0.00	(0.00	1	0.0	0 (0) () 0	0	0	0	ز	0

September 2023

Option Contracts

Summary

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

Venues

١	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
C	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	for	for Non-	for Non-	for Other	for Other
													Orders(cents per	Marketable	Marketable	Marketable	Marketable	Orders(USD)	Orders(cents
													hundred shares)	Limit	Limit	Limit	Limit	1	per hundred
														Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)
															per hundred		per hundred	1	
															shares)		shares)		