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

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## 1st Quarter, 2022

January 2022

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### 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	;			
51:	3 100.00	407	79 34	. 27	5 26	12	2.34	67	13.0

#### Venues

				Orders(cents per hundred shares)	Orders(USD)	Limit Orders(cents per hundred shares)		Orders(cents per hundred shares)	Ī
Citadel Securities									
	46 67.65	0	0 0	0	0	0	) (	) 0	
VIRTU Americas,         LLC(NITE)         126         23.95         95         23.34         10         37.04         0         0.00         21	21 30.88	0	0 0	n 0	n		) (		
Jane Street Capital,	21 30.00	· ·	0	, ,	·		,		
• •	0 0.00	0	0 0	0	0	0	) (	) 0	
G1 Execution Services,									
	0 0.00	0	0 0	0	0	0	) (	) 0	
NASDAQ Execution           Services, LLC(NSDQ)         13         2.47         0         0.00         0         0.00         13         54.17         0	0 0.00	0	0 0	0	0	0	) (	) 0	
Two Sigma Securities,           LLC(SOHO)         13         2.47         13         3.19         0         0.00         0         0.00         0	0 0.00	0	0 0	0	O	0	) (	) 0	
Cboe EDGX US Equities           Exchange(EDGX)         5         0.95         0         0.00         0         0.00         5         20.83         0           UBS Securities,         0	0 0.00	0	0 0	0	0	0	) (	) 0	
	0 0.00	0	0 0	0	0	0	) (	) 0	
BlockCross(BLKX)         1         0.19         0         0.00         0         0.00         0         0.00         1           New York Stock	1.47	0	0 0	0	O	0	) (	0	
Exchange(NYSE) 1 0.19 0 0.00 0 0.00 1 4.17 0	0.00	0	0 0	0	0	0	) (	) 0	

# January 2022

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#### 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	ı
Orders	Orders as %	Orders	as % of Non-	Limit Orders	Limit Orders as	Limit Orders	Orders as % of Non-		Non-Directed Orders	ı
	of All Orders		Directed Orders		% of Non-		Directed Orders			ı
					<b>Directed Orders</b>					
895	100.00	569	63.58	115	12.85	30	3.35	181	20.22	•

Venues

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Venue - Non-directed Order Flow		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	Net Payment d Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for Non- Marketable Limit Orders(USD)				d
Citadel Securities	-	-					•			-			•			-	-		_
LLC(CDRG)	355	38.30	243	3 42.78	3 52	2 45.22		13.89	55	26.44		0 (	)	0 0	0		(	)	0
VIRTU Americas,																			
LLC(NITE)	293	31.61	1 140	24.65	5 27	7 23.48	(	0.00	126	60.58	(	0 (	0	0 0	) 0	) С	(	)	0
Jane Street Capital, LLC(JNST)	160	17.26	5 137	7 24.12	2 23	3 20.00	(	0.00	) (	0.00		0 (		0 (				0	n
G1 Execution Services,	100	17.20	5 157	24.12	<u> </u>	20.00	•	0.00	,	0.00	•			0 0	, 0	,		,	J
LLC(ETMM)	42	4.53	3 29	5.11	1 10	8.70		8.33		0.00	) (	0 (	)	0 0	0			0	0
Instinet																			
BlockCross(BLKX)	27	2.91	1 (	0.00	) (	0.00	(	0.00	27	12.98	;	0 (	)	0 0	0	) С		ວ	0
NASDAQ Execution																			
Services, LLC(NSDQ)	12	1.29	9 (	0.00	) (	0.00	12	2 33.33	C	0.00	) (	0 (	)	0 0	0	0	(	)	0
Two Sigma Securities,																			
LLC(SOHO)	12	1.29	9 11	1.94	4 (	0.00	:	2.78	; c	0.00	) (	0 (	)	0 0	0	0		o	0
Cboe EDGX US Equities																			
Exchange(EDGX)	11	1.19	9 (	0.00	) 1	1 0.87	10	27.78		0.00	) (	0 (	)	0 0	0	0	(	٥	0
UBS Securities,																			
LLC(UBSS)	10	1.08	8 8	3 1.43	1 2	2 1.74	(	0.00	0	0.00	) (	0 (	)	0 0	0	) C	(	J	0
New York Stock	_											_		-					_
Exchange(NYSE)	5	0.54	4 (	0.00	) (	0.00		13.89	) (	0.00	) (	0 (	)	0 0	) 0	) C	(	J	0

## January 2022

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### **Option Contracts**

#### Summary

Total Non-D	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		
						<b>Directed Orders</b>				
	0	0.00	0	0.00	0	0.00	0	0.00	0	0.00

#### Venues

٧	enue - 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
O	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		
					<b>Directed Orders</b>				
362	100.00	326	90.06	12	3.31	14	3.87	10	2.76

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Venues																			
Order 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 Marketable		Paid/Received for Non- Marketable Limit Orders(USD)	Paid/Received for Non-			d
Citadel Securities																			
LLC(CDRG)	145	32.29	9 131	1 40.18	3 6	50.00	(	0.00	) 8	57.14	1 (	0 (	) (	0 0	0	0	) (	)	0
VIRTU Americas,																			
LLC(NITE)	106	23.61	1 103	31.60	) 2	2 16.67	(	0.00	) 1	7.14	1 (	0 (	) (	0 0	) 0	0	) (	)	0
Jane Street Capital, LLC(JNST)	60	15.37	7 66	5 20.25	5 3	3 25.00		0.00	) 0	0.00		0 0		0 0				,	^
New York Stock	69	15.37	7 66	20.25		5 25.00	(	0.00	Ü	0.00	, (	u (	, (	0	, 0	U		J	U
Exchange(NYSE)	52	11.58	8 0	0.00	) (	0.00	52	53.61	. 0	0.00	) (	0 0	) (	0 0	) 0	0	) (	)	0
NASDAQ Execution																			
Services, LLC(NSDQ)	35	7.80	0 0	0.00	) (	0.00	35	36.08	3 0	0.00	) (	0 0	) (	0 0	0	0	) (	)	0
G1 Execution Services,																			
LLC(ETMM)	20	4.45	5 19	5.83	3 1	1 8.33	(	0.00	0	0.00	) (	0 0	) (	0 0	0	0	) (	)	0
Cboe EDGX US Equities Exchange(EDGX)	9	2.00	0 0	0.00	) (	0.00	S	9.28	3 0	0.00	) (	0 0	) (	0 0	) 0	0	) (	)	0
Two Sigma Securities,																			
LLC(SOHO)	6	1.34	4 6	5 1.84	4 (	0.00	(	0.00	0	0.00	) (	0 0	) (	0 0	0	0	) (	)	0
Instinet																			
BlockCross(BLKX)	4	0.89	9 0	0.00	) (	0.00	(	0.00	) 4	28.57	′ (	0 0	) (	0 0	0	0	) (	)	0
UBS Securities,			_																_
LLC(UBSS)	2	0.45	5 1	L 0.31	1 (	0.00	(	0.00	) 1	7.14	. (	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			
					<b>Directed Orders</b>	;				4
434	100.00	296	68.20	48	11.06	35	8.06	55	12.6	7

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market 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	Net Payment d Paid/Received for Marketable Limit Orders(cents per hundred shares)	Paid/Received for Non- Marketable Limit Orders(USD)	Paid/Received for Non-	Paid/Received for Other Orders(USD)		ed
Citadel Securities																			4
LLC(CDRG)	162	33.75	5 126	42.57	, 17	36.96	2	3.77	17	20.00	) (	) (	) (	0 0	0	0	(	0	0
VIRTU Americas,																			
LLC(NITE)	122	25.42	2 71	23.99	13	28.26	0	0.00	38	44.71	. (	) (	) (	0 0	) 0	0	(	)	0
Jane Street Capital,																			
LLC(JNST)	80	16.67	7 65	21.96	5 14	30.43	1	1.89	0	0.00	) (	) (	) (	0 0	) 0	0	(	0	0
Instinet	20	6.25				0.00		0.00	20	25.20								•	_
BlockCross(BLKX) NASDAQ Execution	30	6.25	o 0	0.00	) (	0.00	0	0.00	30	35.29	(	) (	, (	U (	) 0	0	(	J	U
Services, LLC(NSDQ)	29	6.04	ı 0	0.00	) (	0.00	29	54.72	0	0.00	) (	) (	) (	0 (	) Ո	n		0	0
G1 Execution Services,	23	0.0-		0.00		0.00	23	54.72	· ·	0.00	•		,		,	·		•	٠
LLC(ETMM)	24	5.00	) 24	8.11		0.00	0	0.00	0	0.00	) (	) (	) (	0 0	0	0	(	0	0
Cboe EDGX US Equities																			
Exchange(EDGX)	17	3.54	1 0	0.00	) (	0.00	17	32.08	0	0.00	) (	) (	) (	0 0	0	0		0	0
Two Sigma Securities,																			
LLC(SOHO)	6	1.25	5 4	1.35	, 2	4.35	0	0.00	0	0.00	) (	) (	) (	0 0	) 0	0	(	0	0
UBS Securities,																			
LLC(UBSS)	6	1.25	5 6	2.03	3 0	0.00	0	0.00	0	0.00	) (	) (	) (	0 0	) 0	0	(	)	0
Members																			
Exchange(MEMX)	4	0.83	3 0	0.00	) (	0.00	4	7.55	0	0.00	) (	) (	) (	0 0	0	0	(	)	0

# **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		
					<b>Directed Orders</b>				
C	0.00	0	0.00	0	0.00	0	0.00	0	0.0

#### Venues

Ver	nue - 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
Ord	der 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				
260	100.00	2/11	90 E0	2	1 12	6	າ າວ	10	7.06

Venues

Venue - Non-directed Order Flow		Non-Directed Orders(%)	Market Orders	Market 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 for Non- Marketable Limit Orders(USD)	Paid/Received	Paid/Received for Other Orders(USD)		d
Citadel Securities	112	20.61	- 00	40.50		22.22		0.00	1.4	70.00			) (		0			0	^
LLC(CDRG) Jane Street Capital,	113	39.65	5 98	3 40.66	5 1	. 33.33	C	0.00	14	70.00	(	) (	) (	0	0	C	) (	, (	,
LLC(JNST)	67	23.53	1 66	5 27.39	9 1	. 33.33	C	0.00	0	0.00		) (	) (	0	0	C	) (	) (	)
VIRTU Americas,																			
LLC(NITE)	48	16.84	4 42	2 17.43	3 1	. 33.33	C	0.00	5	25.00	(	) (	) (	0	0	C	) (	) (	)
G1 Execution Services, LLC(ETMM)	31	. 10.88	3 31	1 12.86	5 (	0.00	O	0.00	0	0.00		) (	. (	n 0	0		) (	a ,	a
New York Stock	31	10.00	, ,,	1 12.00	,	0.00	·	0.00	· ·	0.00		,		, ,	O		,	,	,
Exchange(NYSE)	16	5.63	1 (	0.00	) (	0.00	16	76.19	0	0.00	(	) (	) (	0	0	C	) (	) (	)
Cboe EDGX US Equities Exchange(EDGX)	4	1.40	) (	0.00	) (	0.00	4	19.05	0	0.00	(	) (	) (	0	0	c	) (	) (	)
Two Sigma Securities,																			
LLC(SOHO)	4	1.40	) 4	1.66	5 (	0.00	C	0.00	0	0.00	(	) (	) (	0	0	C	) (	) (	)
Instinet																			_
BlockCross(BLKX) NASDAQ Execution	1	. 0.35	· (	0.00	) (	0.00	C	0.00	1	5.00	(	) (	) (	0	0	C	) (	) (	)
Services, LLC(NSDQ)	1	0.35	5 (	0.00	) (	0.00	1	4.76	0	0.00	(	) (	) (	) 0	0	C	) (	o (	ว

### 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				
665	100.00	437	65.71	85	12.78	49	7.37	94	14.14

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Venue - Non-directed Order Flow		Non-Directed Orders(%)	Market Orders	Market 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	for Marketable	Paid/Received for Non- Marketable Limit Orders(USD)	Paid/Received for Non-	Paid/Received for Other Orders(USD)	Net Payment d Paid/Received for Other Orders(cents per hundred shares)	d
Citadel Securities																			
LLC(CDRG)	234	31.88	3 173	39.59	33	38.82	5	8.06	23	15.33	(	) (	) (	) 0	0	0	) (	) (	)
VIRTU Americas, LLC(NITE)	186	25.34	1 96	21.97	' 19	22.35	0	0.00	71	47.33		) (	) (	) (		0		0 (	^
Jane Street Capital,	100	25.54	+ 90	21.97	15	22.35	U	0.00	/1	47.55	(	,	, (	, ,	U	U	,	,	,
LLC(JNST)	122	16.62	2 105	24.03	. 17	20.00	0	0.00	0	0.00	(	) (	) (	) (	0	0	) (	o (	0
G1 Execution Services,		20.01		2 1100		20.00	ŭ	0.00	ŭ	0.00	·		·	,	· ·	· ·			•
LLC(ETMM)	71	9.67	7 56	12.81	. 12	2 14.12	3	4.84	0	0.00	(	) (	) (	0	0	0	) (	) (	o
Instinet																			
BlockCross(BLKX)	56	7.63	3 0	0.00	) (	0.00	0	0.00	56	37.33	(	) (	) (	0	0	0	) (	) (	)
Cboe EDGX US Equities																			
Exchange(EDGX)	19	2.59	9 0	0.00	) (	0.00	19	30.65	0	0.00	(	) (	) (	0	0	0	) (	) (	J
NYSE Arca(ARCA)	16	2.18	3 0	0.00	) (	0.00	16	25.81	0	0.00	(	) (	) (	) 0	0	0	) (	) (	J
NASDAQ Execution																			
Services, LLC(NSDQ)	11	1.50	0	0.00	) C	0.00	11	17.74	0	0.00	(	) (	) (	0	0	0	) (	) (	)
Two Sigma Securities,																			
LLC(SOHO) Members	9	1.23	3 4	0.92	! 4	4.71	1	1.61	0	0.00	(	) (	) (	0	0	0	) (	) (	)
Exchange(MEMX)	7	0.95	5 0	0.00	) (	0.00	7	11.29	0	0.00	(	) (	) (	) 0	0	0	) (	) (	o

### March 2022

### **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		
					<b>Directed Orders</b>				
C	0.00	0	0.00	0	0.00	0	0.00	0	0.0

#### 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		per hundred
														Orders(USD)	Orders(cents	Orders(USD)	Orders(cents		shares)
															per hundred		per hundred		
															shares)		shares)		