

# XPUS - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2024

July 2024

## 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                                 | 98.02                                     | 0.07                                                | 0.06                                                    | 1.85                                     |

### 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| Virtu Americas (NITE) (NITE)          | 75.05                   | 76.57             | 0.00                        | 0.00                            | 0.00             | -61.5291                                         | -7.0764                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| JANE STREET EXECUTION SERVICES (JSES) | 7.22                    | 7.37              | 0.00                        | 0.00                            | 0.00             | -7.2277                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Citadel Securities (CDRG)             | 5.36                    | 3.48              | 100.00                      | 100.00                          | 98.27            | -2.5433                                          | -0.3688                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| HRTX (HRTX)                           | 5.22                    | 5.33              | 0.00                        | 0.00                            | 0.00             | -7.1655                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| GTS (GTSS)                            | 2.63                    | 2.69              | 0.00                        | 0.00                            | 0.00             | -3.0585                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| G1 Execution Services, LLC (ETMM)     | 1.66                    | 1.69              | 0.00                        | 0.00                            | 0.00             | -2.2170                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CANACCORD GENUITY INC. (ADAM)         | 1.28                    | 1.31              | 0.00                        | 0.00                            | 0.00             | -0.9052                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| INTL FCSTONE SECURITIES INC. (INTL)   | 1.26                    | 1.29              | 0.00                        | 0.00                            | 0.00             | -1.3515                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CODA (CODA)                           | 0.28                    | 0.29              | 0.00                        | 0.00                            | 0.00             | -0.0990                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CLEARPOOL EXECUTION SERVICES, (CPEM)  | 0.03                    | 0.00              | 0.00                        | 0.00                            | 1.73             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |

### Material Aspects:

Virtu Americas (NITE) (NITE):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>

JANE STREET EXECUTION SERVICES (JSES):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

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Citadel Securities (CDRG):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0021 and receive a maximum 0.02 per share.

HRTX (HRTX):

XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

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GTS (GTSS):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a minimum of .0020 and a maximum of 0.0300 per share.

G1 Execution Services, LLC (ETMM):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

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July 2024

Non-S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 97.40                                        | 0.20                                                       | 0.04                                                           | 2.36                                        |

Venues

| Venue -<br>Non-directed Order Flow       | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per<br>hundred shares) |
|------------------------------------------|-----------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------------------------------------------|
| Virtu Americas (NITE) (NITE)             | 70.63                             | 72.51                   | 0.00                              | 0.00                                      | 0.00                   | -376.7564                                                 | -6.9931                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| JANE STREET EXECUTION SERVICES<br>(JSES) | 8.26                              | 8.48                    | 0.00                              | 0.00                                      | 0.00                   | -108.8399                                                 | -5.7455                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| Citadel Securities (CDRG)                | 7.14                              | 4.68                    | 94.12                             | 100.00                                    | 99.67                  | -33.0647                                                  | -0.7241                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| HRTX (HRTX)                              | 6.61                              | 6.79                    | 0.00                              | 0.00                                      | 0.00                   | -82.1830                                                  | -6.1349                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| GTS (GTSS)                               | 2.74                              | 2.81                    | 0.00                              | 0.00                                      | 0.00                   | -59.0060                                                  | -5.6385                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| G1 Execution Services, LLC (ETMM)        | 1.87                              | 1.92                    | 0.00                              | 0.00                                      | 0.00                   | -15.8207                                                  | -5.6929                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| INTL FCSTONE SECURITIES INC. (INTL)      | 1.33                              | 1.36                    | 0.00                              | 0.00                                      | 0.00                   | -12.0692                                                  | -4.5435                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| CANACCORD GENUITY INC. (ADAM)            | 1.25                              | 1.28                    | 0.00                              | 0.00                                      | 0.00                   | -14.3119                                                  | -5.8136                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |

| Venue -<br>Non-directed Order Flow | Non-Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Non-Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-Marketable<br>Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per<br>hundred shares) |
|------------------------------------|-------------------------------|-------------------------|-----------------------------------|---------------------------------------|------------------------|-----------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------------------------------------------|
| CODA (CODA)                        | 0.16                          | 0.16                    | 0.00                              | 0.00                                  | 0.00                   | -1.0757                                                   | -6.9626                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| Bofa Securities Inc (MLCO)         | 0.02                          | 0.00                    | 5.88                              | 0.00                                  | 0.00                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |

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## 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                                 | 35.30                                     | 2.16                                                | 58.59                                                   | 3.94                                     |

### 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 Securities (CDRG)       | 16.51                   | 23.63             | 27.68                       | 11.70                           | 18.14            | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Dash Financial (DFIN)           | 11.90                   | 23.85             | 9.82                        | 4.65                            | 13.73            | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Global Execution Brokers (GEBB) | 1.91                    | 4.16              | 0.00                        | 0.76                            | 0.00             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Bofa Securities Inc (MLCO)      | 1.41                    | 1.81              | 3.57                        | 1.19                            | 0.00             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Nasdaq PHLX (XPHO)              | 1.27                    | 0.00              | 0.00                        | 0.00                            | 32.35            | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| NYSE Mkt Llc (XASE)             | 0.27                    | 0.00              | 0.00                        | 0.00                            | 6.86             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Lamport Capital, L.C. (LAMP)    | 0.23                    | 0.66              | 0.00                        | 0.00                            | 0.00             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| BOX Exchange (XBOX)             | 0.12                    | 0.00              | 0.00                        | 0.00                            | 2.94             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 71.6500                                         | 12.4177                                                              |
| Nasdaq ISE (XISX)               | 0.06                    | 0.00              | 0.00                        | 0.00                            | 1.47             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | -52.0000                                        | -7.1429                                                              |
| Miami Intl Exchange (XMIO)      | 0.06                    | 0.00              | 0.00                        | 0.00                            | 1.47             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 172.7000                                        | 14.9653                                                              |
| Cboe EDGX Options (EDGO)        | 0.04                    | 0.00              | 0.00                        | 0.00                            | 0.98             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 1,005.7200                                      | 34.0000                                                              |
| CBOE Exchange (XCBO)            | 0.04                    | 0.00              | 0.00                        | 0.00                            | 0.98             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | -10.7625                                        | -5.2500                                                              |

### Material Aspects:

#### Citadel Securities (CDRG):

XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -.5817 and receive a maximum 0.3500 per contract.

#### Dash Financial (DFIN):

XPUS routes options orders to Dash Financial Technologies ("DASH") for execution and is charged transaction based fees. XPUS does not receive Payment for Order from Dash Financial.

#### Global Execution Brokers (GEBB):

XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a maximum 0.45 per contract.

#### Nasdaq PHLX (XPHO):

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

#### NYSE Mkt Llc (XASE):

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

#### Lamport Capital, L.C. (LAMP):

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

#### BOX Exchange (XBOX):

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

Nasdaq ISE (XISX):  
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Miami Intl Exchange (XMIO):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

Cboe EDGX Options (EDGO):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

CBOE Exchange (XCBO):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

## August 2024

### 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                                 | 97.86                                     | 0.02                                                | 0.02                                                    | 2.10                                     |

#### 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| Virtu Americas (NITE) (NITE)          | 72.27                   | 73.86             | 0.00                        | 0.00                            | 0.00             | -66.3655                                         | -7.1134                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| HRTX (HRTX)                           | 8.05                    | 8.23              | 0.00                        | 0.00                            | 0.00             | -11.8358                                         | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| JANE STREET EXECUTION SERVICES (JSES) | 7.54                    | 7.70              | 0.00                        | 0.00                            | 0.00             | -10.3402                                         | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Citadel Securities (CDRG)             | 5.94                    | 3.90              | 100.00                      | 100.00                          | 98.87            | -1.9890                                          | -0.2412                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| G1 Execution Services, LLC (ETMM)     | 2.18                    | 2.22              | 0.00                        | 0.00                            | 0.00             | -2.9055                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| GTS (GTSS)                            | 1.81                    | 1.85              | 0.00                        | 0.00                            | 0.00             | -2.1180                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CANACCORD GENUITY INC. (ADAM)         | 1.25                    | 1.28              | 0.00                        | 0.00                            | 0.00             | -1.7955                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| INTL FCSTONE SECURITIES INC. (INTL)   | 0.91                    | 0.93              | 0.00                        | 0.00                            | 0.00             | -0.7710                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CODA (CODA)                           | 0.02                    | 0.02              | 0.00                        | 0.00                            | 0.00             | -0.0112                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CLEARPOOL EXECUTION SERVICES, (CPEM)  | 0.02                    | 0.00              | 0.00                        | 0.00                            | 1.13             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |

Material Aspects:  
Virtu Americas (NITE) (NITE):

XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

<https://live-apexv2-import.pantheonsite.io/wp-content/uploads/2023/11/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

HRTX (HRTX):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference  
<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

JANE STREET EXECUTION SERVICES (JSES):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference  
<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

Citadel Securities (CDRG):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0023 and receive a maximum 0.02 per share.

G1 Execution Services, LLC (ETMM):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference  
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GTS (GTSS):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference  
<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

CANACCORD GENUITY INC. (ADAM):  
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INTL FCSTONE SECURITIES INC. (INTL):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference  
<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>

CODA (CODA):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference  
<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

CLEARPOOL EXECUTION SERVICES, (CPEM):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0050 and received a maximum 0.0021 per share.

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## August 2024

### 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                                 | 97.34                                     | 0.15                                                | 0.07                                                    | 2.44                                     |

#### Venues

| Venue -<br>Non-directed Order Flow       | Non-Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Non-Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-Marketable<br>Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per<br>hundred shares) |
|------------------------------------------|-------------------------------|-------------------------|-----------------------------------|---------------------------------------|------------------------|-----------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|----------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------------------------------------------|
| Virtu Americas (NITE) (NITE)             | 69.19                         | 71.08                   | 0.00                              | 0.00                                  | 0.00                   | -470.1061                                                 | -6.7316                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| HRTX (HRTX)                              | 8.45                          | 8.68                    | 0.00                              | 0.00                                  | 0.00                   | -161.3024                                                 | -4.2236                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| Citadel Securities (CDRG)                | 7.92                          | 5.45                    | 100.00                            | 100.00                                | 98.23                  | -49.3369                                                  | -0.8011                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| JANE STREET EXECUTION SERVICES<br>(JSES) | 7.91                          | 8.12                    | 0.00                              | 0.00                                  | 0.00                   | -148.8193                                                 | -3.4707                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| G1 Execution Services, LLC (ETMM)        | 2.23                          | 2.29                    | 0.00                              | 0.00                                  | 0.00                   | -42.8092                                                  | -4.0892                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| GTS (GTSS)                               | 1.97                          | 2.02                    | 0.00                              | 0.00                                  | 0.00                   | -38.5747                                                  | -4.1305                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| CANACCORD GENUITY INC. (ADAM)            | 1.18                          | 1.21                    | 0.00                              | 0.00                                  | 0.00                   | -11.9951                                                  | -2.3027                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| INTL FCSTONE SECURITIES INC. (INTL)      | 1.10                          | 1.13                    | 0.00                              | 0.00                                  | 0.00                   | -18.0092                                                  | -6.2037                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| CLEARPOOL EXECUTION SERVICES,<br>(CPEM)  | 0.04                          | 0.00                    | 0.00                              | 0.00                                  | 1.48                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |
| CODA (CODA)                              | 0.01                          | 0.01                    | 0.00                              | 0.00                                  | 0.00                   | -0.0338                                                   | -7.3583                                                                           | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                     | 0.0000                                                                                           | 0.0000                                                   | 0.0000                                                                           |

#### Material Aspects:

Virtu Americas (NITE) (NITE):

XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

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Citadel Securities (CDRG):

XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0023 and receive a maximum 0.02 per share.

JANE STREET EXECUTION SERVICES (JSES):

XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

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G1 Execution Services, LLC (ETMM):

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CANACCORD GENUITY INC. (ADAM):

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<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

INTL FCSTONE SECURITIES INC. (INTL):

XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference

<https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

CLEARPOOL EXECUTION SERVICES, (CPEM):

XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0050 and received a maximum 0.0021 per share.

CODA (CODA):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

August 2024

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                                 | 46.17                                     | 0.00                                                | 50.81                                                   | 3.01                                     |

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 Securities (CDRG)       | 21.56                   | 30.14             | 0.00                        | 14.98                           | 1.02             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Dash Financial (DFIN)           | 11.21                   | 17.65             | 0.00                        | 4.33                            | 28.57            | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Global Execution Brokers (GEBB) | 1.91                    | 2.36              | 0.00                        | 1.54                            | 1.02             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Lampost Capital, L.C. (LAMP)    | 1.91                    | 3.93              | 0.00                        | 0.00                            | 3.06             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Bofa Securities Inc (MLCO)      | 1.46                    | 1.73              | 0.00                        | 1.30                            | 0.00             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Nasdaq PHLX (XPHO)              | 0.57                    | 0.00              | 0.00                        | 0.00                            | 18.88            | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| NYSE Mkt Llc (XASE)             | 0.25                    | 0.00              | 0.00                        | 0.00                            | 8.16             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| BOX Exchange (XBOX)             | 0.20                    | 0.00              | 0.00                        | 0.00                            | 6.63             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CBOE Exchange (XCBO)            | 0.18                    | 0.00              | 0.00                        | 0.00                            | 6.12             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| XPSE (XPSE)                     | 0.12                    | 0.00              | 0.00                        | 0.00                            | 4.08             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |

Material Aspects:

Citadel Securities (CDRG):  
XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.3397 and receive a maximum 0.3500 per contract.

Dash Financial (DFIN):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for execution and is charged transaction based fees. XPUS does not receive Payment for Order from Dash Financial.

Global Execution Brokers (GEBB):  
XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS receive a maximum 0.25 per contract.

Bofa Securities Inc (MLCO):  
XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.5100 and received a maximum 0.3700 per contract.

Nasdaq PHLX (XPHO):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

NYSE Mkt Llc (XASE):

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

BOX Exchange (XBOX):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

XPSE (XPSE):  
XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

## September 2024

### 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                                 | 88.71                                     | 0.00                                                | 0.06                                                    | 1.19                                     |

#### 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| Virtu Americas (NITE) (NITE)          | 73.64                   | 74.30             | 0.00                        | 0.00                            | 0.00             | -63.0196                                         | -7.1056                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| HRTX (HRTX)                           | 8.09                    | 8.20              | 0.00                        | 0.00                            | 0.00             | -11.2492                                         | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| JANE STREET EXECUTION SERVICES (JSES) | 7.54                    | 7.64              | 0.00                        | 0.00                            | 0.00             | -8.9228                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Citadel Securities (CDRG)             | 4.36                    | 3.42              | 0.00                        | 100.00                          | 98.59            | -1.3762                                          | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| G1 Execution Services, LLC (ETMM)     | 2.36                    | 2.39              | 0.00                        | 0.00                            | 0.00             | -2.7825                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| GTS (GTSS)                            | 1.88                    | 1.89              | 0.00                        | 0.00                            | 0.00             | -2.7803                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CANACCORD GENUITY INC. (ADAM)         | 1.22                    | 1.23              | 0.00                        | 0.00                            | 0.00             | -2.8942                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| INTL FCSTONE SECURITIES INC. (INTL)   | 0.91                    | 0.93              | 0.00                        | 0.00                            | 0.00             | -1.1565                                          | -7.5000                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CLEARPOOL EXECUTION SERVICES, (CPEM)  | 0.02                    | 0.00              | 0.00                        | 0.00                            | 1.41             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |

#### Material Aspects:

Virtu Americas (NITE) (NITE):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

HRTX (HRTX):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

JANE STREET EXECUTION SERVICES (JSES):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

Citadel Securities (CDRG):

XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0030 and receive a maximum 0.0200 per share.

G1 Execution Services, LLC (ETMM):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

GTS (GTSS):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a 0.0300 per share.

CANACCORD GENUITY INC. (ADAM):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

INTL FCSTONE SECURITIES INC. (INTL):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

CLEARPOOL EXECUTION SERVICES, (CPM):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0047 and receive a maximum 0.0020 per share.

## September 2024

### 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                                 | 87.50                                     | 0.21                                                | 0.07                                                    | 2.02                                     |

#### 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|-----------------------------------------------------------------------|------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------------------------------------------------------------------|-------------------------------------------------|----------------------------------------------------------------------|
| Virtu Americas (NITE) (NITE)          | 70.12                   | 71.65             | 0.00                        | 0.00                            | 0.00             | -453.0266                                        | -6.1709                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| HRTX (HRTX)                           | 8.41                    | 8.49              | 0.00                        | 0.00                            | 0.00             | -156.9577                                        | -4.2288                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| JANE STREET EXECUTION SERVICES (JSES) | 7.94                    | 8.10              | 0.00                        | 0.00                            | 0.00             | -188.7176                                        | -4.7599                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| Citadel Securities (CDRG)             | 6.86                    | 5.05              | 96.49                       | 100.00                          | 99.64            | -34.0905                                         | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| G1 Execution Services, LLC (ETMM)     | 2.59                    | 2.57              | 0.00                        | 0.00                            | 0.00             | -52.1203                                         | -5.1978                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| GTS (GTSS)                            | 1.76                    | 1.80              | 0.00                        | 0.00                            | 0.00             | -35.8676                                         | -5.3738                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| CANACCORD GENUITY INC. (ADAM)         | 1.30                    | 1.29              | 0.00                        | 0.00                            | 0.00             | -22.7935                                         | -3.6360                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| INTL FCSTONE SECURITIES INC. (INTL)   | 1.01                    | 1.04              | 0.00                        | 0.00                            | 0.00             | -19.6837                                         | -4.0805                                                               | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |
| RBC Capital Markets Corporatio (RBCD) | 0.02                    | 0.01              | 3.51                        | 0.00                            | 0.36             | 0.0000                                           | 0.0000                                                                | 0.0000                                                     | 0.0000                                                                          | 0.0000                                                         | 0.0000                                                                              | 0.0000                                          | 0.0000                                                               |

#### Material Aspects:

Virtu Americas (NITE) (NITE):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

HRTX (HRTX):

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JANE STREET EXECUTION SERVICES (JSES):  
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Citadel Securities (CDRG):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.0030 and receive a maximum 0.0200 per share.

G1 Execution Services, LLC (ETMM):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

GTS (GTSS):  
XPUS pays or receives a net amount for execution services. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a 0.0300 per share.

CANACCORD GENUITY INC. (ADAM):  
XPUS introduces accounts to Apex Clearing Corporation ("APEX") a FINRA registered Broker Dealer. APEX is responsible for routing customer orders and receives payment for order flow. XPUS receives 50% of the received payment for order flow from APEX. For additional information concerning the below exchanges please reference <https://apexfintechsolutions.com/wp-content/uploads/2022/09/Payment-for-Order-Flow-and-Order-Routing-Information-05-04-2022.pdf>.

INTL FCSTONE SECURITIES INC. (INTL):  
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September 2024

Options

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
| 100.00                                    | 43.81                                        | 0.00                                                       | 53.02                                                          | 3.16                                        |

Venues

| Venue -<br>Non-directed Order Flow | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Market<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Marketable<br>Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received for<br>Other<br>Orders(cents per<br>hundred shares) |
|------------------------------------|-----------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|-----------------------------------------------------------------------------------|------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|----------------------------------------------------------------------------------|
| Citadel Securities (CDRG)          | 26.23                             | 43.39                   | 0.00                              | 12.53                                     | 18.27                  | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| Dash Financial (DFIN)              | 4.41                              | 5.38                    | 0.00                              | 2.72                                      | 19.23                  | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| Global Execution Brokers (GEBB)    | 3.13                              | 6.73                    | 0.00                              | 0.23                                      | 1.92                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| Bofa Securities Inc (MLCO)         | 3.09                              | 4.65                    | 0.00                              | 1.92                                      | 0.96                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| Nasdaq PHLX (XPHO)                 | 0.65                              | 0.00                    | 0.00                              | 0.00                                      | 20.67                  | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| Lampost Capital, L.C. (LAMP)       | 0.61                              | 1.39                    | 0.00                              | 0.00                                      | 0.00                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| BOX Exchange (XBOX)                | 0.24                              | 0.00                    | 0.00                              | 0.00                                      | 7.69                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| NYSE Mkt Lic (XASE)                | 0.23                              | 0.00                    | 0.00                              | 0.00                                      | 7.21                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| XPSE (XPSE)                        | 0.21                              | 0.00                    | 0.00                              | 0.00                                      | 6.73                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | 0.0000                                                   | 0.0000                                                                           |
| CBOE Exchange (XCBO)               | 0.12                              | 0.00                    | 0.00                              | 0.00                                      | 3.85                   | 0.0000                                                    | 0.0000                                                                            | 0.0000                                                                 | 0.0000                                                                                       | 0.0000                                                                      | 0.0000                                                                                            | -19.3750                                                 | -0.1880                                                                          |

Material Aspects:  
Citadel Securities (CDRG):

XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.5817 and receive a maximum 0.3500 per contract.

**Dash Financial (DFIN):**

XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a maximum 0.0500 per contract.

**Global Execution Brokers (GEBB):**

XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a maximum 0.25 per contract.

**Bofa Securities Inc (MLCO):**

XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS paid a maximum of -0.5100 and receive a maximum 0.4500 per contract.

**Nasdaq PHLX (XPHO):**

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.

**Lampost Capital, L.C. (LAMP):**

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>. Additionally, XPUS receives rebates and pays fees from/to the routing of customer orders and such rebates may exceed the fees paid. The net amount is as an aggregate of exchanges fees and contributing factors from adding or removing liquidity. During the period, XPUS received a maximum 0.2500 per contract.

**XPSE (XPSE):**

XPUS routes options orders to Dash Financial Technologies ("DASH") for agency execution and is charged transaction based fees. All orders sent to DASH are routed to US listed options exchanges for execution. XPUS is not party to the payment arrangements between DASH and the Options Exchange. Dash will pass along rebates received for executions and reduce the amount of transaction fees owed to them. When accessing the exchanges via DASH, XPUS may receive an indirect benefit by receiving enhanced exchange rates associated with DASH, and these rates are therefore reflected in net payments. For additional information concerning the below exchanges please reference <https://dashfinancial.com/rule-606/>.