CastleOak Securities - Held NMS Stocks and Options Order Routing Public Report Generated on Tue Oct 15 2024 11:12:34 GMT-0400 (Eastern Daylight Time)

3rd Quarter, 2024

July	20	24
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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
0.00	0.00	0.00	0.00	0.00

Venues

Order (%) Orders(USD) hundred shares) Orders(USD) Orders(CSD) Orders(USD) Orders(USD) Orders(USD)	(Directed Orders (%)	Orders (%)	Limit Orders (%)	Marketable Limit Orders (%)	Orders (%)	Paid/Received for Market Orders(USD)	Received for Market Orders(cents per hundred shares)	Received for Marketable Limit Orders(USD)		Received for Non- Marketable Limit Orders(USD)	Received for Non- Marketable Limit Orders(cents per hundred shares)	Paid/Received for Other Orders(USD)	Received for Other Orders(cents per hundred shares)	
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Material Aspects:

July 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
0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

July 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
0.00	0.00	0.00	0.00	0.00

Venues

Venue - Non- directed Order Flow	Non- Directed Orde Orders (%) (%	ers 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)	
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Material Aspects:

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
I	0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

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
0.00	0.00	0.00	0.00	0.00

Venues

Market Orders Market Orders Market Orders So of All Orders So of So of All Orders So of	Venue - Non- directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)		Other Orders (%)	Net Payment Paid/Received Market Orders(USD)	for Received for Market Orders(cents per	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)
Storius Carlo Glober Market Orders as % of Orders (%) (%)	laterial A	spects:												
Storius Carlo Glober Market Orders as % of Orders (%) (%)														
Mon-Directed Orders State Cortiers as % of Mon-Directed Orders Orders as % of Non-Directed Orders Orde	August	2024												
nues Non-Directed Orders October 3 to 14 Nov-Directed Orders October 4 to 14 Nov-Directed Orders October 3 to 14 Nov-Directed Orders October 3 to 14 Nov-Directed Orders October 3 to 14 Nov-Directed Orders October 4 to 14 Nov-Directed Orders October 4 to 14 Nov-Directed Orders October 3 to 14 Nov-Directed Orders October 4 to 14 Nov-Directed Orders October 5 to 14 Nov-D	ptions ummary													
Non-Directed Orders (%) Market Orders as % of Mon-Directed Orders as % of Mon-Directed Orders (%) Market Orders (%) Mark					Orders as % of Non-	Orders	s as % of Non-							
Visuos None Received for None Program (None Program (None)		0.00		0.00	0.00		0.00	0.00						
Non-directed Orders (%) Orders (%	enues										,			
Expression Stocks Suppose Papping Pappi	directed Order	Directed	Orders	Limit Orders	s Marketable Limit Orders	Orders	Paid/Received Market	for Received for Market Orders(cents per	Received for Marketable Limit	Received for Marketable Limit Orders(cents per	Received for Non- Marketable Limit	Received for Non- Marketable Limit Orders(cents per	Paid/Received for Other	Net Payment Paid Received for Othe Orders(cents per hundred shares)
AP 500 Stocks mmary Non-Directed Orders as % of Market Orders as % of Mon-Directed Orders 0.00 0.00 0.00 0.00 0.00 0.00 Non-Directed Orders Non-Directed Orders 0.00 0.00 0.00 0.00 0.00 0.00 0.00 Non-Directed Orders Net Payment Paid/ Received for Non-Marketable Limit Orders(Limit O	aterial A	spects:												
AP 500 Stocks mmary Non-Directed Orders as % of Market Orders as % of Mon-Directed Orders 0.00 0.00 0.00 0.00 0.00 0.00 Non-Directed Orders Non-Directed Orders 0.00 0.00 0.00 0.00 0.00 0.00 0.00 Non-Directed Orders Net Payment Paid/ Received for Non-Marketable Limit Orders(Limit O														
Non-Directed Orders as % of All Orders as % of Non-Directed Orders as % of Non-Directe	epten	iber 20)24											
Non-Directed Orders as % of All Orders as % of Non-Directed Orders as % of Non-Directe	&P 500	Stocks												
as % of All Orders Non-Directed Orders Orders as % of Non-Directed Orders	ummary	Otocks												
Non- Directed Orders (%) Orders (%) (%) (%) (%) (%) (%) (%) (%) (%) (%)					Orders as % of Non-	Orders	s as % of Non-							
Venue - Non- Directed Orders (%) Orders (%) (%) (%) (%) (%) (%) (%) (%) (%) (%)		0.00		0.00	0.00		0.00	0.00						
Non-directed Orders (%) (%) (%) (%) (%) (%) (%) (%) (%) (%)	enues										•			
	directed	Directed	Orders	Limit Orders	s Marketable Limit Orders	Orders	Paid/Received Market	for Received for Market Orders(cents per	Received for Marketable Limit	Received for Marketable Limit Orders(cents per	Received for Non- Marketable Limit	Received for Non- Marketable Limit Orders(cents per	Paid/Received for Other	Net Payment Paid Received for Othe Orders(cents per hundred shares)
	Flow										<u> </u>			
		spects:												
		spects:												

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
0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

September 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	
0.00	0.00	0.00	0.00	0.00	

Venues

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