

UMB FINANCIAL SERVICES, INC. - Held NMS
Stocks and Options Order Routing Public
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2nd Quarter, 2026

April 2026

S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
544	100.00	524	96.32	4	0.74	11	2.02	5	0.92

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
G1 Execution Services, LLC(ETMM)	119	18.80	117	19.53	2		40.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	114	18.01	112	18.70	0		0.00	0	0.00	2	40.00	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	104	16.43	103	17.20	1		20.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Virtu Americas, LLC(NITE)	101	15.96	98	16.36	0		0.00	0	0.00	3	60.00	0	0	0	0	0	0	0
CrossStream ATS(XSTM)	82	12.95	81	13.52	1		20.00	0	0.00	0	0.00	0	0	0	0	0	0	0
HRT Financial LP(HRTF)	38	6.00	38	6.34	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Goldman, Sachs & Co. LLC(GSCD)	22	3.48	22	3.67	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	15	2.37	15	2.50	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	12	1.90	0	0.00	0		0.00	12	50.00	0	0.00	0	0	0	0	0	0	0
GTS SECURITIES LLC(GTSM)	9	1.42	9	1.50	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

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Non-S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
560	100.00	519	92.68	10	1.79	30	5.36	1	0.18

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
CrossStream ATS(XSTM)	282	31.37	268	34.36	14		70.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	119	13.24	117	15.00	1		5.00	1	1.02	0	0.00	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	114	12.68	107	13.72	2		10.00	4	4.08	1	100.00	0	0	0	0	0	0	0
Virtu Americas, LLC(NITE)	113	12.57	109	13.97	2		10.00	2	2.04	0	0.00	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	95	10.57	94	12.05	0		0.00	1	1.02	0	0.00	0	0	0	0	0	0	0
NYSE Arca(ARCA)	35	3.89	0	0.00	0		0.00	35	35.71	0	0.00	0	0	0	0	0	0	0
HRT Financial LP(HRTF)	31	3.45	30	3.85	1		5.00	0	0.00	0	0.00	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	25	2.78	0	0.00	0		0.00	25	25.51	0	0.00	0	0	0	0	0	0	0
Goldman, Sachs & Co. LLC(GSCD)	17	1.89	16	2.05	0		0.00	1	1.02	0	0.00	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	15	1.67	15	1.92	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

April 2026

Option Contracts
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
8	100.00	8	100.00	0	0.00	0	0.00	0	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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 LLC(CDRG)		4	50.00	4	50.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Dash Financial Technologies LLC(DASH)		2	25.00	2	25.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)		2	25.00	2	25.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

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S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
660	100.00	631	95.61	6	0.91	22	3.33	1	0.15

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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 LLC(CDRG)		173	21.54	170	22.28	3	25.00	0	0.00	0	0.00	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)		159	19.80	156	20.45	2	16.67	1	3.70	0	0.00	0	0	0	0	0	0	0
CrossStream ATS(XSTM)		148	18.43	142	18.61	6	50.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Virtu Americas, LLC(NITE)		132	16.44	130	17.04	1	8.33	0	0.00	1	100.00	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)		61	7.60	61	7.99	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
HRT Financial LP(HRTF)		55	6.85	54	7.08	0	0.00	1	3.70	0	0.00	0	0	0	0	0	0	0
Goldman, Sachs & Co. LLC(GSCO)		23	2.86	23	3.01	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)		12	1.49	12	1.57	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Nasdaq Stock Market(NSDQ)		10	1.25	0	0.00	0	0.00	10	37.04	0	0.00	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)		10	1.25	10	1.31	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

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Non-S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
713	100.00	630	88.36	13	1.82	68	9.54	2	0.28

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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)
CrossStream ATS(XSTM)		356	32.13	336	34.78	20	58.82	0	0.00	0	0.00	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)		190	17.15	183	18.94	2	5.88	4	3.77	1	50.00	0	0	0	0	0	0	0
Virtu Americas, LLC(NITE)		140	12.64	136	14.08	2	5.88	2	1.89	0	0.00	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)		132	11.91	130	13.46	2	5.88	0	0.00	0	0.00	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)		67	6.05	64	6.63	3	8.82	0	0.00	0	0.00	0	0	0	0	0	0	0
HRT Financial LP(HRTF)		63	5.69	59	6.11	2	5.88	2	1.89	0	0.00	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)		30	2.71	0	0.00	0	0.00	30	28.30	0	0.00	0	0	0	0	0	0	0
Members Exchange(MEMX)		25	2.26	0	0.00	0	0.00	25	23.58	0	0.00	0	0	0	0	0	0	0
Goldman, Sachs & Co. LLC(GSCO)		23	2.08	23	2.38	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

Nasdaq Stock Market(NSDQ)	22	1.99	0	0.00	0	0.00	22	20.75	0	0.00	0	0	0	0	0	0	0	0
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May 2026

Option Contracts
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
6	100.00	5	83.33	0	0.00	1	16.67	0	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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 LLC(CDRG)	3	50.00	2	40.00	0	0.00	1	100.00	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(INST)	2	33.33	2	40.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Global Execution Brokers, LP(GEBB)	1	16.67	1	20.00	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0	0

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S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
601	100.00	535	89.02	9	1.50	49	8.15	8	1.33

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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 LLC(CDRG)	193	26.29	178	28.21	1	1.14	11	13.58	3	37.50	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	116	15.80	108	17.12	0	0.00	8	9.88	0	0.00	0	0	0	0	0	0	0	0
Virtu Americas, LLC(NITE)	116	15.80	104	16.48	2	14.29	6	7.41	4	50.00	0	0	0	0	0	0	0	0
CrossStream ATS(XSTM)	112	15.26	108	17.12	4	28.57	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(INST)	60	8.17	54	8.56	1	7.14	5	6.17	0	0.00	0	0	0	0	0	0	0	0
HRT Financial LP(HRTF)	44	5.99	41	6.50	2	14.29	1	1.23	0	0.00	0	0	0	0	0	0	0	0
Nasdaq Stock Market(NSDQ)	28	3.81	0	0.00	3	21.43	25	30.86	0	0.00	0	0	0	0	0	0	0	0
Goldman, Sachs & Co. LLC(GSCO)	21	2.86	18	2.85	1	7.14	2	2.47	0	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	11	1.50	10	1.58	0	0.00	1	1.23	0	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	9	1.23	0	0.00	0	0.00	9	11.11	0	0.00	0	0	0	0	0	0	0	0

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Non-S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
750	100.00	646	86.13	16	2.13	84	11.20	4	0.53

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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)
CrossStream ATS(XSTM)	407	33.72	387	37.87	20	54.05	0	0.00	0	0.00	0	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	238	19.72	217	21.23	7	18.92	13	9.03	1	25.00	0	0	0	0	0	0	0	0
Virtu Americas, LLC(NITE)	141	11.68	121	11.84	2	5.41	16	11.11	2	50.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	131	10.85	123	12.04	3	8.11	5	3.47	0	0.00	0	0	0	0	0	0	0	0

Jane Street Capital, LLC(JNST)	79	6.55	75	7.34	0	0.00	4	2.78	0	0.00	0	0	0	0	0	0	0	0
HRT Financial LP(HRTF)	47	3.89	42	4.11	2	5.41	3	2.08	0	0.00	0	0	0	0	0	0	0	0
Nasdaq Stock Market(NSDQ)	47	3.89	0	0.00	0	0.00	47	32.64	0	0.00	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	27	2.24	0	0.00	0	0.00	27	18.75	0	0.00	0	0	0	0	0	0	0	0
Goldman, Sachs & Co. LLC(GSCD)	23	1.91	22	2.15	0	0.00	1	0.69	0	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	19	1.57	0	0.00	0	0.00	19	13.19	0	0.00	0	0	0	0	0	0	0	0

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Option Contracts Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
10	100.00	5	50.00	2	20.00	3	30.00	0	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	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 LLC(CDRG)	5	38.46	0	0.00	1		50.00	4	66.67	0	0.00	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	4	30.77	3	60.00	1		50.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Global Execution Brokers, LP(GEBB)	2	15.38	2	40.00	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0
Wolverine Execution Services LLC(WEXX)	2	15.38	0	0.00	0		0.00	2	33.33	0	0.00	0	0	0	0	0	0	0