

# Citigroup Global Markets Inc. ("CGMI") Wealth - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2026

July 2026

## 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                                 | 58.70                                     | 3.87                                                | 33.31                                                   | 4.12                                     |

### 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 LLC          | 24.39                   | 24.24             | 24.98                       | 24.19                           | 27.55            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| G1 Execution Services, LLC      | 18.35                   | 17.41             | 18.12                       | 19.32                           | 24.03            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Jane Street Capital             | 16.51                   | 16.89             | 16.44                       | 16.50                           | 11.18            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Hudson River Trading (HRT)      | 11.81                   | 11.84             | 11.48                       | 11.91                           | 10.96            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Virtu Americas, LLC             | 11.13                   | 11.00             | 11.62                       | 11.21                           | 11.90            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Two Sigma Securities, LLC       | 6.36                    | 6.13              | 6.37                        | 6.40                            | 9.37             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| StoneX Financial, Inc.          | 6.12                    | 6.78              | 6.20                        | 5.43                            | 2.20             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| UBS Securities, LLC             | 5.33                    | 5.70              | 4.79                        | 5.05                            | 2.81             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

### Material Aspects:

CITADEL SECURITIES LLC:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Citadel Securities LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Citadel Securities LLC.

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Jane Street Capital:  
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Virtu Americas, LLC:  
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Two Sigma Securities, LLC:  
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UBS Securities, LLC:  
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## July 2026

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### 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                                    | 63.00                                        | 5.82                                                       | 28.65                                                          | 2.53                                        |

#### Venues

| Venue -<br>Non-directed<br>Order Flow | Non-<br>Directed<br>Orders (%) | 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 for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received 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 for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|---------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| CITADEL<br>SECURITIES<br>LLC          | 24.29                          | 24.57                   | 23.27                             | 23.84                                     | 24.75                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| G1 Execution<br>Services, LLC         | 20.23                          | 20.26                   | 20.98                             | 19.76                                     | 23.19                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Jane Street<br>Capital                | 19.31                          | 19.07                   | 22.01                             | 19.65                                     | 15.00                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Virtu<br>Americas, LLC                | 12.51                          | 12.28                   | 12.61                             | 12.86                                     | 14.10                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Hudson River<br>Trading (HRT)         | 8.25                           | 8.15                    | 6.68                              | 8.92                                      | 6.83                   | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |



| 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 LLC              | 32.37                   | 30.32             | 33.42                       | 35.66                           | 7.21             | 30.88                                            | 0.0842                                                                | 9.54                                                       | 0.1541                                                                          | 36.48                                                          | 0.1371                                                                              | 23.20                                           | 1.0026                                                               |
| Global Execution Brokers LP         | 23.66                   | 18.47             | 18.55                       | 24.38                           | 54.01            | 35.28                                            | 0.1618                                                                | 6.38                                                       | 0.1780                                                                          | 26.96                                                          | 0.1410                                                                              | 0.00                                            | 0.0000                                                               |
| Wolverine Execution Services, LLC   | 19.15                   | 19.52             | 19.34                       | 17.25                           | 38.48            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| DASH Financial Option ATS           | 14.94                   | 19.49             | 16.71                       | 13.45                           | 0.30             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Jane Street Execution Services, LLC | 9.14                    | 11.94             | 10.92                       | 8.19                            | 0.00             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

Material Aspects:

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Wolverine Execution Services, LLC:  
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August 2026

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                                 | 58.00                                     | 3.56                                                | 33.50                                                   | 4.93                                     |

## 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 LLC          | 24.22                   | 24.18             | 24.75                       | 23.79                           | 27.18            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| G1 Execution Services, LLC      | 18.62                   | 17.37             | 19.09                       | 19.58                           | 26.37            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Jane Street Capital             | 16.26                   | 16.38             | 16.00                       | 16.66                           | 12.18            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Hudson River Trading (HRT)      | 11.63                   | 11.69             | 11.65                       | 11.80                           | 9.81             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Virtu Americas, LLC             | 11.47                   | 11.45             | 11.30                       | 11.52                           | 11.60            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Two Sigma Securities, LLC       | 6.40                    | 6.19              | 6.24                        | 6.56                            | 7.86             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| StoneX Financial, Inc.          | 6.08                    | 7.11              | 5.37                        | 4.87                            | 2.67             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| UBS Securities, LLC             | 5.32                    | 5.63              | 5.60                        | 5.21                            | 2.33             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

## Material Aspects:

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August 2026

Non-S&P 500 Stocks

Summary

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|-------------------------------------------|----------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------|---------------------------------------------|
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Venues

| Venue -<br>Non-directed<br>Order Flow | Non-<br>Directed<br>Orders (%) | 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 for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received 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 for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|---------------------------------------|--------------------------------|-------------------------|-----------------------------------|-------------------------------------------|------------------------|-----------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------------------------|
| CITADEL<br>SECURITIES<br>LLC          | 23.90                          | 24.00                   | 23.41                             | 23.76                                     | 24.14                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| G1 Execution<br>Services, LLC         | 21.42                          | 21.23                   | 22.65                             | 21.28                                     | 24.43                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Jane Street<br>Capital                | 19.28                          | 19.22                   | 20.39                             | 19.57                                     | 15.85                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Virtu<br>Americas, LLC                | 12.39                          | 12.23                   | 12.38                             | 12.57                                     | 14.04                  | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Hudson River<br>Trading (HRT)         | 7.71                           | 7.96                    | 6.45                              | 7.60                                      | 5.69                   | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |
| Two Sigma<br>Securities,<br>LLC       | 5.91                           | 5.70                    | 5.78                              | 6.37                                      | 6.14                   | 0.00                                                      | 0.0000                                                                          | 0.00                                                                 | 0.0000                                                                                       | 0.00                                                                      | 0.0000                                                                                            | 0.00                                                     | 0.0000                                                                         |

Material Aspects:

CITADEL SECURITIES LLC:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Citadel Securities LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Citadel Securities LLC.

G1 Execution Services, LLC:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from G1 Execution Services, LLC. Nor does CGMI Wealth receive any services or technologies subsidized by G1 Execution Services, LLC.

Jane Street Capital:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Jane Street Capital. Nor does CGMI Wealth receive any services or technologies subsidized by Jane Street Capital.

Virtu Americas, LLC:

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Two Sigma Securities, LLC:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Two Sigma Securities, LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Two Sigma Securities, LLC.

August 2026

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                                 | 33.53                                     | 3.80                                                | 57.16                                                   | 5.51                                     |

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 LLC              | 31.42                   | 30.42             | 38.46                       | 33.70                           | 9.04             | 65.95                                            | 0.1787                                                                | 50.42                                                      | 0.6668                                                                          | 29.58                                                          | 0.1243                                                                              | 0.00                                            | 0.0000                                                               |
| Global Execution Brokers LP         | 24.30                   | 18.49             | 19.30                       | 24.87                           | 57.13            | 121.10                                           | 0.5984                                                                | 75.13                                                      | 1.6487                                                                          | 48.16                                                          | 0.2765                                                                              | 0.00                                            | 0.0000                                                               |
| Wolverine Execution Services, LLC   | 19.29                   | 19.83             | 15.79                       | 17.81                           | 33.83            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| DASH Financial Option ATS           | 13.96                   | 18.17             | 14.44                       | 12.80                           | 0.00             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Jane Street Execution Services, LLC | 9.64                    | 12.83             | 10.93                       | 8.61                            | 0.00             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

Material Aspects:

CITADEL SECURITIES LLC:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Citadel Securities LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Citadel Securities LLC.

Global Execution Brokers LP:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Global Execution Brokers LP. Nor does CGMI Wealth receive any services or technologies subsidized by Global Execution Brokers LP.

Wolverine Execution Services, LLC:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Wolverine Execution Services, LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Wolverine Execution Services, LLC.

DASH Financial Option ATS:  
CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from DASH Financial Option ATS. Nor does CGMI Wealth receive any services or technologies subsidized by DASH Financial Option ATS.

September 2026

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                                 | 56.73                                     | 3.50                                                | 34.17                                                   | 5.60                                     |

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 LLC          | 24.12                   | 23.83             | 23.95                       | 24.13                           | 27.05            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| G1 Execution Services, LLC      | 18.65                   | 17.58             | 18.17                       | 19.40                           | 25.15            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Jane Street Capital             | 15.77                   | 15.95             | 15.41                       | 16.16                           | 11.79            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Hudson River Trading (HRT)      | 11.93                   | 12.04             | 12.36                       | 12.13                           | 9.34             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Virtu Americas, LLC             | 10.96                   | 11.08             | 11.55                       | 10.49                           | 12.33            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Two Sigma Securities, LLC       | 7.16                    | 6.84              | 7.25                        | 7.46                            | 8.62             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| StoneX Financial, Inc.          | 6.04                    | 7.07              | 5.64                        | 4.90                            | 2.84             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| UBS Securities, LLC             | 5.37                    | 5.61              | 5.67                        | 5.34                            | 2.89             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

Material Aspects:

CITADEL SECURITIES LLC:

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Virtu Americas, LLC:  
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Two Sigma Securities, LLC:  
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UBS Securities, LLC:  
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September 2026

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                                 | 62.87                                     | 4.85                                                | 28.74                                                   | 3.54                                     |

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(cent's per hundred shares) | Net Payment Paid/Received for Marketable Limit Orders(USD) | Net Payment Paid/Received for Marketable Limit Orders(cent's per hundred shares) | Net Payment Paid/Received for Non-Marketable Limit Orders(USD) | Net Payment Paid/Received for Non-Marketable Limit Orders(cent's per hundred shares) | Net Payment Paid/Received for Other Orders(USD) | Net Payment Paid/Received for Other Orders(cent's per hundred shares) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--------------------------------------------------|------------------------------------------------------------------------|------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------------|--------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------------------------------------------------------|
| CITADEL SECURITIES LLC          | 23.68                   | 23.89             | 22.72                       | 23.43                           | 23.19            | 0.00                                             | 0.0000                                                                 | 0.00                                                       | 0.0000                                                                           | 0.00                                                           | 0.0000                                                                               | 0.00                                            | 0.0000                                                                |
| G1 Execution Services, LLC      | 21.53                   | 21.48             | 21.06                       | 21.47                           | 23.57            | 0.00                                             | 0.0000                                                                 | 0.00                                                       | 0.0000                                                                           | 0.00                                                           | 0.0000                                                                               | 0.00                                            | 0.0000                                                                |
| Jane Street Capital             | 19.17                   | 19.14             | 20.23                       | 19.36                           | 16.71            | 0.00                                             | 0.0000                                                                 | 0.00                                                       | 0.0000                                                                           | 0.00                                                           | 0.0000                                                                               | 0.00                                            | 0.0000                                                                |

| 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, LLC             | 12.10                   | 11.82             | 12.38                       | 12.45                           | 13.63            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Hudson River Trading (HRT)      | 8.26                    | 8.37              | 8.15                        | 8.19                            | 6.95             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Two Sigma Securities, LLC       | 5.69                    | 5.50              | 5.80                        | 6.02                            | 6.02             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| UBS Securities, LLC             | 5.04                    | 4.83              | 5.05                        | 5.76                            | 2.78             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

Material Aspects:

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Two Sigma Securities, LLC:  
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September 2026

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                                 | 36.50                                     | 4.60                                                | 53.52                                                   | 5.37                                     |

## 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 LLC              | 31.37                   | 31.79             | 32.49                       | 33.72                           | 4.17             | 346.11                                           | 0.6385                                                                | 226.05                                                     | 3.0995                                                                          | 44.80                                                          | 0.1740                                                                              | 0.00                                            | 0.0000                                                               |
| Global Execution Brokers LP         | 23.35                   | 17.33             | 21.06                       | 24.22                           | 57.66            | 200.26                                           | 0.7789                                                                | 143.56                                                     | 2.3585                                                                          | 59.88                                                          | 0.3769                                                                              | 0.00                                            | 0.0000                                                               |
| Wolverine Execution Services, LLC   | 20.21                   | 20.34             | 17.14                       | 18.61                           | 37.90            | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| DASH Financial Option ATS           | 14.94                   | 19.06             | 16.08                       | 13.53                           | 0.09             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |
| Jane Street Execution Services, LLC | 9.08                    | 11.33             | 10.90                       | 8.31                            | 0.00             | 0.00                                             | 0.0000                                                                | 0.00                                                       | 0.0000                                                                          | 0.00                                                           | 0.0000                                                                              | 0.00                                            | 0.0000                                                               |

## Material Aspects:

### CITADEL SECURITIES LLC:

CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Citadel Securities LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Citadel Securities LLC.

### Global Execution Brokers LP:

CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Global Execution Brokers LP. Nor does CGMI Wealth receive any services or technologies subsidized by Global Execution Brokers LP.

### Wolverine Execution Services, LLC:

CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from Wolverine Execution Services, LLC. Nor does CGMI Wealth receive any services or technologies subsidized by Wolverine Execution Services, LLC.

### DASH Financial Option ATS:

CGMI has entered into a Fully Disclosed Clearing Agreement with Pershing LLC pursuant to which Pershing provides clearing and custody services for the accounts of the wealth line of business that offer investment products through CGMI ("CGMI Wealth"). There are multiple lines of business under the CGMI broker dealer and this particular disclosure pertains to the CGMI Wealth line of business, identified as market participant CGWM. CGMI Wealth routes customer orders in equity securities and/or exchange-traded options to Pershing for order handling. The CGMI Wealth business does not receive or solicit payment for order flow for these orders, nor does CGMI Wealth share in any profits derived by Pershing for the execution of these orders. In addition, CGMI Wealth does not receive any sort of consideration from DASH Financial Option ATS. Nor does CGMI Wealth receive any services or technologies subsidized by DASH Financial Option ATS.