

SAGEPOINT FINANCIAL, INC. - Hold NMS  
 Stocks and Options Order Routing Public  
 Report  
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3rd Quarter, 2020

July 2020

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
2,336	100.00	2,291	98.07	4	0.17	35	1.50	6	0.26

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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(Cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Other Orders(Cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities LLC(OR)	1,207	47.86	1,198	52.29	2	50.00	3	1.36	4	57.14	0	0	0	0	0	
VIRTU Americas LLC(ITE)	815	32.32	809	35.31	2	50.00	2	0.91	2	28.57	0	0	0	0	0	
New York Stock Exchange(NYSE)	188	7.45	0	0.00	0	0.00	188	85.45	0	0.00	0	0	0	0	0	
JANE STREET CAPITAL, LLC(INST)	94	3.73	94	4.10	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
GS Execution Services, LLC(ETMM)	84	3.33	83	3.62	0	0.00	1	0.45	0	0.00	0	0	0	0	0	
Two Sigma Securities, LLC(SOH)	75	2.97	75	3.27	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
UBS Securities, LLC(UBSS)	32	1.27	32	1.40	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
NASDAQ Execution Services, LLC(NSDQ)	14	0.56	0	0.00	0	0.00	14	6.36	0	0.00	0	0	0	0	0	
Choe EDGX US Equities Exchange(EDGX)	10	0.40	0	0.00	0	0.00	10	4.55	0	0.00	0	0	0	0	0	
Choe NYX U.S. Equities Exchange(BATS)	2	0.08	0	0.00	0	0.00	2	0.91	0	0.00	0	0	0	0	0	

July 2020

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
3,641	100.00	3,556	97.67	39	1.07	42	1.15	4	0.11

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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(Cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Other Orders(Cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities LLC(OR)	1,924	50.53	1,899	53.40	16	41.03	6	5.88	3	2.70	0	0	0	0	0	
VIRTU Americas LLC(ITE)	1,255	32.96	1,228	34.53	21	53.85	5	4.90	1	0.90	0	0	0	0	0	
JANE STREET CAPITAL, LLC(INST)	162	4.25	160	4.50	1	2.56	1	0.98	0	0.00	0	0	0	0	0	
GS Execution Services, LLC(ETMM)	118	3.10	118	3.32	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
Instinet BlockCross(BLCK)	107	2.81	0	0.00	0	0.00	0	0.00	107	96.40	0	0	0	0	0	
Two Sigma Securities, LLC(SOH)	102	2.68	101	2.84	0	0.00	1	0.98	0	0.00	0	0	0	0	0	
UBS Securities, LLC(UBSS)	51	1.34	50	1.41	1	2.56	0	0.00	0	0.00	0	0	0	0	0	
New York Stock Exchange(NYSE)	44	1.16	0	0.00	0	0.00	44	43.14	0	0.00	0	0	0	0	0	
Choe EDGX US Equities Exchange(EDGX)	20	0.53	0	0.00	0	0.00	20	19.61	0	0.00	0	0	0	0	0	
NASDAQ Execution Services, LLC(NSDQ)	15	0.39	0	0.00	0	0.00	15	14.71	0	0.00	0	0	0	0	0	

July 2020

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
113	100.00	41	30.83	19	14.20	73	54.89	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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(Cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Other Orders(Cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities LLC(OR)	59	44.36	18	43.90	7	36.84	14	46.58	0	0.00	0	0	0	0	0	
Suqaphana Capital Group(SUG)	26	19.55	14	34.15	9	47.37	3	4.11	0	0.00	0	0	0	0	0	
Wolverine Execution Services LLC(WEX)	25	18.80	0	0.00	1	5.26	24	32.88	0	0.00	0	0	0	0	0	
Dash Financial Technologies LLC(DASH)	9	6.77	4	9.76	0	0.00	5	6.85	0	0.00	0	0	0	0	0	
Citigroup Global Markets, Inc.(CITI)	7	5.26	3	7.32	2	10.53	2	2.74	0	0.00	0	0	0	0	0	
Morgan Stanley & Company LLC(MSC)	4	3.01	2	4.88	0	0.00	2	2.74	0	0.00	0	0	0	0	0	
Citigroup Global Markets, Inc.(CITI)	3	2.26	0	0.00	0	0.00	3	4.11	0	0.00	0	0	0	0	0	

August 2020

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
1,342	100.00	1,311	97.69	9	0.67	22	1.64	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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(Cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Other Orders(Cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities LLC(OR)	721	48.42	717	54.69	3	33.33	1	0.60	0	0.00	0	0	0	0	0	
VIRTU Americas LLC(ITE)	445	29.89	442	33.71	3	33.33	0	0.00	0	0.00	0	0	0	0	0	
New York Stock Exchange(NYSE)	153	10.28	0	0.00	2	22.22	151	89.88	0	0.00	0	0	0	0	0	
GS Execution Services, LLC(ETMM)	60	4.03	59	4.50	1	11.11	0	0.00	0	0.00	0	0	0	0	0	
JANE STREET CAPITAL, LLC(INST)	57	3.83	57	4.35	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
Two Sigma Securities, LLC(SOH)	25	1.68	25	1.91	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
NASDAQ Execution Services, LLC(NSDQ)	12	0.81	0	0.00	0	0.00	12	7.14	0	0.00	0	0	0	0	0	
UBS Securities, LLC(UBSS)	11	0.74	11	0.84	0	0.00	0	0.00	0	0.00	0	0	0	0	0	
Choe EDGX US Equities Exchange(EDGX)	4	0.27	0	0.00	0	0.00	4	2.38	0	0.00	0	0	0	0	0	
Instinet BlockCross(BLCK)	1	0.07	0	0.00	0	0.00	0	0.00	1	100.00	0	0	0	0	0	

August 2020

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
2,989	100.00	2,891	96.72	37	1.24	55	1.84	6	0.20

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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	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(ORG)	1,554	48.22	1,523	52.68	18	48.65	9	3.72	4	7.55	0	0	0	0	0	0
VRTU Americas LLC(NT)	1,009	31.31	994	34.38	11	29.73	2	0.83	2	3.77	0	0	0	0	3.77	0
JANE STREET CAPITAL, LLC(INST) GI Execution Services, LLC(ETMM)	147	4.56	142	4.91	5	13.51	0	0.00	0	0.00	0	0	0	0	0	0
Two Sigma Securities, LLC(SOH)	86	2.67	85	2.94	1	2.70	0	0.00	0	0.00	0	0	0	0	0	0
New York Stock Exchange(NYSE)	81	2.51	0	0.00	0	0.00	81	33.47	0	0.00	0	0	0	0	0	0
NASDAQ Execution Services, LLC(SDQ) Instinet	62	1.92	0	0.00	0	0.00	62	25.62	0	0.00	0	0	0	0	0	0
BlockCross(BLCK) Cboe EDGX US Equities Exchange(EDGX) NYSE Arca(ARCA)	47	1.46	0	0.00	0	0.00	0	0.00	47	88.68	0	0	0	0	0	0
	39	1.21	0	0.00	0	0.00	39	16.12	0	0.00	0	0	0	0	0	0
	27	0.84	0	0.00	0	0.00	27	11.16	0	0.00	0	0	0	0	0	0

August 2020

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
151	100.00	80	52.98	14	9.27	57	37.75	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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	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(ORG) Susquehanna Capital Group(SUSG) DASH Financial Technologies LLC(DASH) Wolverine Execution Services LLC(WEXS) Morgan Stanley & Company LLC(MSCO) Citigroup Global Markets, Inc.(CXP)	73	48.34	37	46.25	8	57.14	28	49.12	0	0.00	0	0	0	0	0	0
	31	20.53	25	31.25	4	28.57	2	3.51	0	0.00	0	0	0	0	0	0
	21	13.91	12	15.00	2	14.29	7	12.28	0	0.00	0	0	0	0	0	0
	18	11.92	3	3.75	0	0.00	15	26.32	0	0.00	0	0	0	0	0	0
	5	3.31	1	1.25	0	0.00	4	7.02	0	0.00	0	0	0	0	0	0
	3	1.99	2	2.50	0	0.00	1	1.75	0	0.00	0	0	0	0	0	0

September 2020

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
2,113	100.00	2,091	98.49	8	0.38	16	0.75	8	0.38

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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	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(ORG) VRTU Americas LLC(NT) GI Execution Services, LLC(ETMM)	1,113	53.10	1,102	54.96	4	50.00	3	1.94	4	40.00	0	0	0	0	0	0
	634	29.11	626	31.22	4	50.00	0	0.00	4	40.00	0	0	0	0	0	0
	119	5.46	119	5.94	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(INST) New York Stock Exchange(NYSE)	99	4.55	99	4.94	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0
	75	3.44	0	0.00	0	0.00	75	48.39	0	0.00	0	0	0	0	0	0
NASDAQ Execution Services, LLC(SDQ) Two Sigma Securities, LLC(SOH) Cboe EDGX US Equities Exchange(EDGX) UBS Securities, LLC(UBSS) Instinet BlockCross(BLCK)	70	3.21	0	0.00	0	0.00	70	45.16	0	0.00	0	0	0	0	0	0
	54	2.48	54	2.69	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0
	7	0.32	0	0.00	0	0.00	7	4.52	0	0.00	0	0	0	0	0	0
	5	0.23	5	0.25	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0
	2	0.09	0	0.00	0	0.00	0	0.00	2	20.00	0	0	0	0	0	0

September 2020

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
3,202	100.00	3,133	97.85	18	0.56	49	1.53	2	0.06

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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	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(ORG) VRTU Americas LLC(NT) GI Execution Services, LLC(ETMM)	1,708	51.28	1,690	54.82	8	42.11	8	4.26	2	4.88	0	0	0	0	0	0
	1,010	30.32	995	32.27	5	26.32	10	5.32	0	0.00	0	0	0	0	0	0
	161	4.83	158	5.12	3	15.79	0	0.00	0	0.00	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(INST)	157	4.71	155	5.03	2	10.53	0	0.00	0	0.00	0	0	0	0	0	0
NASDAQ Execution Services, LLC(SDQ) Two Sigma Securities, LLC(SOH) New York Stock Exchange(NYSE) Instinet BlockCross(BLCK) Cboe EDGX US Equities Exchange(EDGX) UBS Securities, LLC(UBSS)	81	2.43	0	0.00	1	5.26	80	42.55	0	0.00	0	0	0	0	0	0
	61	1.83	61	1.98	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0
	53	1.59	0	0.00	0	0.00	53	28.19	0	0.00	0	0	0	0	0	0
	39	1.17	0	0.00	0	0.00	0	0.00	39	95.12	0	0	0	0	0	0
	25	0.75	0	0.00	0	0.00	25	13.90	0	0.00	0	0	0	0	0	0
	24	0.72	24	0.78	0	0.00	0	0.00	0	0.00	0	0	0	0	0	0

September 2020

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
104	100.00	56	53.85	8	7.69	40	38.46	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(Cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	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(ORG)	46	48.42	31	55.36	3	42.86	12	37.50	0	0.00	0	0	0	0	0	0

