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

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# 4th Quarter, 2021

# October 2021

# 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                                    | 48.05  | 1.52   | 3.79   | 46.65                                       |

| 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 (CDRG)           | 40.58                          | 45.95                   | 42.86                             | 8.57                                      | 37.59                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Virtu<br>Americas LLC.<br>(NITE)               | 27.60                          | 29.28                   | 14.29                             | 14.29                                     | 27.38                  | -2.4600   | -0.6034   | -4.9200  | -12.0000   | -1.2000   | -12.0000  | -300.0180  | -11.7762   |
| Jane Street<br>Capital, LLC.<br>(JNST)         | 16.34                          | 17.12                   | 42.86                             | 0.00                                      | 16.01                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| RBC Capital<br>Markets<br>Corporatio<br>(DAIN) | 6.93                           | 3.15                    | 0.00                              | 0.00                                      | 11.60                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 2.49                           | 2.25                    | 0.00                              | 0.00                                      | 3.02                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Two Sigma<br>Securities,<br>LLC (SOHO)         | 1.41                           | 1.58                    | 0.00                              | 0.00                                      | 1.39                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CBOE EDGX<br>(EDGX)                            | 1.08                           | 0.00                    | 0.00                              | 28.57                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Nasdaq<br>Execution<br>Services, LLC<br>(INET) | 0.97                           | 0.00                    | 0.00                              | 25.71                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Nasdaq Stock<br>Exchange<br>(NSDQ)             | 0.65                           | 0.00                    | 0.00                              | 17.14                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| UBS Securities<br>LLC (UBSS)                   | 0.65                           | 0.45                    | 0.00                              | 0.00                                      | 0.93                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

| October 2021  |
|---|
|   |
| UBS Securities LLC (UBSS):<br>UBS Securities, LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from UBS Securities, LLC when our clearing firm directs order flow to this venue.   |
| Nasdaq Stock Exchange (NSDQ):<br>NASDAQ Execution Services LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from NASDAQ Execution Services LLC when our clearing firm directs order flow to this venue.  |
| Nasdaq Execution Services, LLC (INET):<br>NASDAQ Execution Services LLC is an execution venue utilized by our Clearing Firm and Speedroute (Speedroute is a routing venue used by AGP/Alliance Global Partners to execute orders AGP receives payment for order flow in the amount of \$0.0003 per share plus or minus any<br>exchange rebates/fees incurred from Exchanges used by Speedroute) to execute orders. AGP does not receive payment from NASDAQ Execution Services LLC when our clearing firm directs order flow to this venue. AGP does receive payment from Speedroute based on orders sent to this<br>execution venue.                     |
| CBOE EDGX (EDGX):<br>CBOE EDGX US Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from CBOE EDGX US when our clearing firm directs order flow to this venue.  |
| Two Sigma Securities, LLC (SOHO):<br>Two Sigma Securities, LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Two Sigma Securities LLC when our clearing firm directs order flow to this venue  |
| G1 Execution Services, LLC (ETMM):<br>G1 Execution Services LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from G1 Execution Services LLC when our clearing firm directs order flow to this venue.   |
| RBC Capital Markets Corporatio (DAIN):<br>RBC Capital Markets Corporation is an execution venue utilized by our Clearing Firm. Firm to execute orders. AGP does not receive payment from RBC Capital Markets Corporation when our clearing firm directs order flow to this venue.   |
| Jane Street Capital, LLC. (JNST):<br>Jane Street Capital LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Jane Street Capital LLC when our clearing firm directs order flow to this venue.  |
| Virtu Americas LLC. (NITE):<br>VRTU Americas LLC Is an execution venue utilized by both AGP and our Clearing Firm to execute orders AGP receives payment from VRTU Americas LLC for directing order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC when our clearing firm directs order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC for directing order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC when our clearing firm directs order flow to this venue. |
| Material Aspects:<br>Citadel Securities, LLC (CDRG):<br>Citadel Securities LLC Is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from Citadel Securities LLC for directing order flow to this venue in the amount of \$0.001 per share. AGP does not receive payment from Citadel Securities<br>LLC when our clearing firm directs order flow to this venue.   |

# 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                                    | 59.15  | 4.22   | 9.99   | 26.64                                       |

| 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) |
|---------------------------------------|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| Virtu Americas<br>LLC. (NITE)         | 42.21                          | 35.52                   | 56.07                             | 66.10                                     | 45.93                  | -630.2424   | -8.2553   | -191.8968  | -11.1359   | -295.2312   | -12.0858  | -3,002.2992  | -11.7901   |
| Citadel<br>Securities, LLC<br>(CDRG)  | 25.23                          | 33.87                   | 20.23                             | 0.49                                      | 16.10                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CODA (CODA)                           | 13.92                          | 12.77                   | 8.67                              | 10.00                                     | 18.76                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
|                                       | 7.99                           | 10.88                   | 9.25                              | 0.00                                      | 4.39                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

| 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) |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| Jane Street<br>Capital, LLC.<br>(JNST)         |                                |                         |                                   |   |                        |   |   |  |  |   |   |  |  |
| Goldman,<br>Sachs & Co.<br>(GSCO)              | 1.95                           | 1.44                    | 5.20                              | 0.24                                      | 3.20                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| RBC Capital<br>Markets<br>Corporatio<br>(DAIN) | 1.88                           | 0.66                    | 0.00                              | 0.00                                      | 5.58                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| STATE STREET<br>GLOBAL<br>MARKETS, L<br>(PULX) | 1.27                           | 1.57                    | 0.00                              | 0.00                                      | 1.28                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CBOE EDGX<br>(EDGX)                            | 1.22                           | 0.00                    | 0.00                              | 11.46                                     | 0.27                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 0.95                           | 1.48                    | 0.00                              | 0.00                                      | 0.27                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Two Sigma<br>Securities, LLC<br>(SOHO)         | 0.90                           | 1.19                    | 0.00                              | 0.00                                      | 0.73                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

Virtu Americas LLC. (NITE):

VRTU Americas LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders AGP receives payment from VRTU Americas LLC for directing order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC when our clearing firm directs order flow to this venue.

Citadel Securities, LLC (CDRG):

Citadel Securities LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from Citadel Securities LLC for directing order flow to this venue in the amount of \$0.001 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

CODA (CODA):

CODA is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from CODA for directing order flow to this venue in the amount of \$0.0005 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

Jane Street Capital, LLC. (JNST):

Jane Street Capital LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Jane Street Capital LLC when our clearing firm directs order flow to this venue.

Goldman, Sachs & Co. (GSCO):

Goldman, Sachs & Co. is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Goldman, Sachs & Co. when our clearing firm directs order flow to this venue.

RBC Capital Markets Corporatio (DAIN):

RBC Capital Markets Corporation is an execution venue utilized by our Clearing Firm. Firm to execute orders. AGP does not receive payment from RBC Capital Markets Corporation when our clearing firm directs order flow to this venue.

STATE STREET GLOBAL MARKETS, L (PULX):

State Street Global Markets, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from State Street Global Markets, LLC when our clearing firm directs order flow to this venue.

CBOE EDGX (EDGX):

CBOE EDGX US Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from CBOE EDGX US when our clearing firm directs order flow to this venue.

G1 Execution Services, LLC (ETMM):

G1 Execution Services LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from G1 Execution Services LLC when our clearing firm directs order flow to this venue.

Two Sigma Securities, LLC (SOHO):

Two Sigma Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Two Sigma Securities LLC when our clearing firm directs order flow to this venue

# October 2021

### Options

#### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 100.00                                    | 65.67  | 0.00   | 29.85  | 4.48  |

#### Venues

| Tendeo  |                                |                         |                                   |   |                        |   |   |  |  |   |   |  |  |
|---|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| 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<br>for Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
| Citadel<br>Securities, LLC<br>(CDRG)          | 50.37                          | 54.55                   | 0.00                              | 45.00                                     | 25.00                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Susquehanna<br>Capital Group<br>(SUSQ)        | 14.93                          | 17.61                   | 0.00                              | 5.00                                      | 41.67                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Global Execution<br>Brokers, LLC<br>(GEBB)    | 14.55                          | 17.61                   | 0.00                              | 5.00                                      | 33.33                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Dash Fin. (DFIN)                              | 8.58                           | 4.55                    | 0.00                              | 18.75                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| WOLVERINE<br>EXECUTION<br>SERVICES,<br>(WEXX) | 7.46                           | 1.14                    | 0.00                              | 22.50                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| MORGAN<br>STANLEY & CO.<br>LLC (MSCO)         | 4.10                           | 4.55                    | 0.00                              | 3.75                                      | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

#### Material Aspects:

#### Citadel Securities, LLC (CDRG):

Citadel Securities is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Susquehanna Capital Group (SUSQ):

Susquehanna Financial Group is a routing venue used by our Clearing Firm AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Global Execution Brokers, LLC (GEBB):

Global Execution Brokers, LP is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Dash Fin. (DFIN):

Dash Financial Technologies LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### WOLVERINE EXECUTION SERVICES, (WEXX):

Wolverine Execution Services LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### MORGAN STANLEY & CO. LLC (MSCO):

Morgan Stanley & Company LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

# November 2021

# 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                                    | 47.28  | 0.64   | 3.18   | 48.90                                       |

#### 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 (CDRG)           | 50.23                          | 51.74                   | 25.00                             | 0.00                                      | 52.36                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Virtu<br>Americas LLC.<br>(NITE)               | 21.73                          | 25.31                   | 50.00                             | 5.00                                      | 18.99                  | -14.2800  | -1.5026   | -13.3800   | -10.1525   | -0.4800   | -12.0000  | -76.6764   | -7.6907  |
| Jane Street<br>Capital, LLC.<br>(JNST)         | 16.00                          | 16.89                   | 16.67                             | 0.00                                      | 16.17                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Two Sigma<br>Securities,<br>LLC (SOHO)         | 3.85                           | 1.80                    | 8.33                              | 0.00                                      | 6.02                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 2.12                           | 2.24                    | 0.00                              | 0.00                                      | 2.17                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CBOE EDGX<br>(EDGX)                            | 1.78                           | 0.00                    | 0.00                              | 53.33                                     | 0.16                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| RBC Capital<br>Markets<br>Corporatio<br>(DAIN) | 1.57                           | 0.73                    | 0.00                              | 0.00                                      | 2.50                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| UBS Securities<br>LLC (UBSS)                   | 0.80                           | 0.90                    | 0.00                              | 0.00                                      | 0.76                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Nasdaq<br>Execution<br>Services, LLC<br>(INET) | 0.74                           | 0.00                    | 0.00                              | 21.67                                     | 0.11                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Nasdaq Stock<br>Exchange<br>(NSDQ)             | 0.34                           | 0.00                    | 0.00                              | 10.00                                     | 0.05                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

Material Aspects: Citadel Securities, LLC (CDRG): Citadel Securities LLC Is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from Citadel Securities LLC for directing order flow to this venue in the amount of \$0.001 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

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Jane Street Capital, LLC. (JNST): Jane Street Capital LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Jane Street Capital LLC when our clearing firm directs order flow to this venue.

Two Sigma Securities, LLC (SOHO):

Two Sigma Securities, LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Two Sigma Securities LLC when our clearing firm directs order flow to this venue

G1 Execution Services, LLC (ETMM):

G1 Execution Services LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from G1 Execution Services LLC when our clearing firm directs order flow to this venue.

CBOE EDGX (EDGX):

CBOE EDGX US Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from CBOE EDGX US when our clearing firm directs order flow to this venue.

RBC Capital Markets Corporatio (DAIN):

RBC Capital Markets Corporation is an execution venue utilized by our Clearing Firm. Firm to execute orders. AGP does not receive payment from RBC Capital Markets Corporation when our clearing firm directs order flow to this venue.

UBS Securities LLC (UBSS):

UBS Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from UBS Securities, LLC when our clearing firm directs order flow to this venue.

Nasdaq Execution Services, LLC (INET):

NASDAQ Execution Services LLC is an execution venue utilized by our Clearing Firm and Speedroute (Speedroute is a routing venue used by AGP/Alliance Global Partners to execute orders AGP receives payment for order flow in the amount of \$0.0003 per share plus or minus any exchange rebates/fees incurred from Exchanges used by Speedroute) to execute orders. AGP does not receive payment from NASDAQ Execution Services LLC when our clearing firm directs order flow to this venue. AGP does receive payment from Speedroute based on orders sent to this execution venue.

Nasdaq Stock Exchange (NSDQ):

NASDAQ Execution Services LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from NASDAQ Execution Services LLC when our clearing firm directs order flow to this venue.

# November 2021

### 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                                    | 62.19  | 3.33   | 8.69   | 25.79                                       |

| 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, LLC<br>(CDRG)    | 34.12                          | 43.26                   | 23.85                             | 0.99                                      | 24.58                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Virtu Americas<br>LLC. (NITE)           | 33.70                          | 30.78                   | 45.98                             | 35.35                                     | 38.58                  | -1,142.1636   | -6.9273   | -217.4196  | -8.0813  | -322.5480   | -12.2003  | -4,915.2348  | -11.4141   |
| Jane Street<br>Capital, LLC.<br>(JNST)  | 12.29                          | 14.63                   | 10.92                             | 0.11                                      | 10.92                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CODA (CODA)                             | 6.04                           | 4.33                    | 6.03                              | 1.76                                      | 11.62                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CBOE EDGX<br>(EDGX)                     | 3.55                           | 0.00                    | 0.00                              | 39.98                                     | 0.30                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| G1 Execution<br>Services, LLC<br>(ETMM) | 2.04                           | 2.37                    | 1.72                              | 0.00                                      | 1.97                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

| 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) |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| Nasdaq<br>Execution<br>Services, LLC<br>(INET) | 1.61                           | 0.00                    | 0.00                              | 14.32                                     | 1.41                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Two Sigma<br>Securities, LLC<br>(SOHO)         | 1.32                           | 1.56                    | 0.57                              | 0.00                                      | 1.30                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| STATE STREET<br>GLOBAL<br>MARKETS, L<br>(PULX) | 1.16                           | 1.32                    | 0.00                              | 0.00                                      | 1.30                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| RBC Capital<br>Markets<br>Corporatio<br>(DAIN) | 0.92                           | 0.38                    | 0.00                              | 0.00                                      | 2.64                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

#### Citadel Securities, LLC (CDRG):

Citadel Securities LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from Citadel Securities LLC for directing order flow to this venue in the amount of \$0.001 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

#### Virtu Americas LLC. (NITE):

VRTU Americas LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders AGP receives payment from VRTU Americas LLC for directing order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC when our clearing firm directs order flow to this venue.

#### Jane Street Capital, LLC. (JNST):

Jane Street Capital LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Jane Street Capital LLC when our clearing firm directs order flow to this venue.

CODA (CODA):

CODA is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from CODA for directing order flow to this venue in the amount of \$0.0005 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

CBOE EDGX (EDGX):

CBOE EDGX US Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from CBOE EDGX US when our clearing firm directs order flow to this venue.

#### G1 Execution Services, LLC (ETMM):

G1 Execution Services LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from G1 Execution Services LLC when our clearing firm directs order flow to this venue.

#### Nasdaq Execution Services, LLC (INET):

NASDAQ Execution Services LLC is an execution venue utilized by our Clearing Firm and Speedroute (Speedroute is a routing venue used by AGP/Alliance Global Partners to execute orders AGP receives payment for order flow in the amount of \$0.0003 per share plus or minus any exchange rebates/fees incurred from Exchanges used by Speedroute) to execute orders. AGP does not receive payment from NASDAQ Execution Services LLC when our clearing firm directs order flow to this venue. AGP does receive payment from Speedroute based on orders sent to this execution venue.

#### Two Sigma Securities, LLC (SOHO):

Two Sigma Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Two Sigma Securities LLC when our clearing firm directs order flow to this venue

#### STATE STREET GLOBAL MARKETS, L (PULX):

State Street Global Markets, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from State Street Global Markets, LLC when our clearing firm directs order flow to this venue.

#### RBC Capital Markets Corporatio (DAIN):

RBC Capital Markets Corporation is an execution venue utilized by our Clearing Firm. Firm to execute orders. AGP does not receive payment from RBC Capital Markets Corporation when our clearing firm directs order flow to this venue.

# November 2021

Options

#### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 100.00                                    | 64.01  | 0.00   | 32.52  | 3.47  |

#### 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<br>for Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|---|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| Citadel<br>Securities, LLC<br>(CDRG)          | 44.45                          | 45.40                   | 0.00                              | 39.23                                     | 76.00                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Global Execution<br>Brokers, LLC<br>(GEBB)    | 14.84                          | 21.02                   | 0.00                              | 3.84                                      | 4.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Susquehanna<br>Capital Group<br>(SUSQ)        | 14.84                          | 20.37                   | 0.00                              | 4.05                                      | 14.00                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| WOLVERINE<br>EXECUTION<br>SERVICES,<br>(WEXX) | 11.44                          | 2.38                    | 0.00                              | 30.06                                     | 4.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Dash Fin. (DFIN)                              | 8.11                           | 5.20                    | 0.00                              | 14.71                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| MORGAN<br>STANLEY & CO.<br>LLC (MSCO)         | 6.31                           | 5.63                    | 0.00                              | 8.10                                      | 2.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

#### Material Aspects:

Citadel Securities, LLC (CDRG):

Citadel Securities is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Global Execution Brokers, LLC (GEBB):

Global Execution Brokers, LP is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Susquehanna Capital Group (SUSQ):

Susquehanna Financial Group is a routing venue used by our Clearing Firm AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### WOLVERINE EXECUTION SERVICES, (WEXX):

Wolverine Execution Services LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Dash Fin. (DFIN):

Dash Financial Technologies LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### MORGAN STANLEY & CO. LLC (MSCO):

Morgan Stanley & Company LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

# December 2021

#### 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                                    | 45.96  | 0.39   | 2.37   | 51.28                                       |

#### Venues

| 1 chiaco                                       |                                |                         |                                   |   |                        |   |   |  |  |   |   |  |  |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| 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 (CDRG)           | 45.41                          | 49.45                   | 11.76                             | 0.00                                      | 44.14                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Virtu<br>Americas LLC.<br>(NITE)               | 24.37                          | 27.19                   | 29.41                             | 0.00                                      | 22.93                  | -7.6800   | -0.7130   | -6.0000  | -10.5634   | 0.0000  | 0.0000  | -13.1892   | -2.0462  |
| Jane Street<br>Capital, LLC.<br>(JNST)         | 18.65                          | 16.40                   | 58.82                             | 0.00                                      | 21.21                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 4.04                           | 2.42                    | 0.00                              | 0.00                                      | 5.70                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| RBC Capital<br>Markets<br>Corporatio<br>(DAIN) | 1.69                           | 0.71                    | 0.00                              | 0.00                                      | 2.67                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CBOE EDGX<br>(EDGX)                            | 1.46                           | 0.00                    | 0.00                              | 58.82                                     | 0.14                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Two Sigma<br>Securities,<br>LLC (SOHO)         | 1.44                           | 1.77                    | 0.00                              | 0.00                                      | 1.22                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| UBS Securities<br>LLC (UBSS)                   | 1.21                           | 1.82                    | 0.00                              | 0.00                                      | 0.72                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Nasdaq<br>Execution<br>Services, LLC<br>(INET) | 0.86                           | 0.00                    | 0.00                              | 30.39                                     | 0.27                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CODA (CODA)                                    | 0.35                           | 0.25                    | 0.00                              | 0.00                                      | 0.45                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

#### Material Aspects:

Citadel Securities, LLC (CDRG):

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#### Virtu Americas LLC. (NITE):

VRTU Americas LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders AGP receives payment from VRTU Americas LLC for directing order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC when our clearing firm directs order flow to this venue.

#### Jane Street Capital, LLC. (JNST):

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CBOE EDGX US Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from CBOE EDGX US when our clearing firm directs order flow to this venue.

#### Two Sigma Securities, LLC (SOHO):

Two Sigma Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Two Sigma Securities LLC when our clearing firm directs order flow to this venue

#### UBS Securities LLC (UBSS):

UBS Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from UBS Securities, LLC when our clearing firm directs order flow to this venue.

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#### CODA (CODA):

CODA is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from CODA for directing order flow to this venue in the amount of \$0.0005 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

# December 2021

### 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                                    | 60.62  | 4.47   | 4.37   | 30.54                                       |

| 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, LLC<br>(CDRG)           | 41.83                          | 43.20                   | 60.15                             | 0.15                                      | 42.39                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Virtu Americas<br>LLC. (NITE)                  | 27.99                          | 29.01                   | 26.57                             | 19.85                                     | 27.35                  | -345.6168   | -2.8734   | -80.5032   | -5.4259  | -136.1460   | -12.0212  | -2,092.8024  | -9.4741  |
| Jane Street<br>Capital, LLC.<br>(JNST)         | 14.92                          | 19.23                   | 10.22                             | 0.00                                      | 9.17                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CODA (CODA)                                    | 3.45                           | 2.25                    | 0.15                              | 0.90                                      | 6.67                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| CBOE EDGX<br>(EDGX)                            | 2.36                           | 0.00                    | 0.00                              | 43.58                                     | 1.50                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Nasdaq<br>Execution<br>Services, LLC<br>(INET) | 1.96                           | 0.00                    | 0.00                              | 30.90                                     | 2.01                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| G1 Execution<br>Services, LLC<br>(ETMM)        | 1.92                           | 2.14                    | 2.19                              | 0.00                                      | 1.73                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Two Sigma<br>Securities, LLC<br>(SOHO)         | 1.54                           | 1.28                    | 0.29                              | 0.00                                      | 2.46                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
|  | 1.38                           | 1.37                    | 0.00                              | 0.00                                      | 1.82                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

| 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) |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| STATE STREET<br>GLOBAL<br>MARKETS, L<br>(PULX) |                                |                         |                                   |   |                        |   |   |  |  |   |   |  |  |
| UBS Securities<br>LLC (UBSS)                   | 1.10                           | 0.80                    | 0.00                              | 0.00                                      | 2.03                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

#### Citadel Securities, LLC (CDRG):

Citadel Securities LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from Citadel Securities LLC for directing order flow to this venue in the amount of \$0.001 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

#### Virtu Americas LLC. (NITE):

VRTU Americas LLC is an execution venue utilized by both AGP and our Clearing Firm to execute orders AGP receives payment from VRTU Americas LLC for directing order flow to this venue in the amount of \$0.0015 per share. AGP does not receive payment from VRTU Americas LLC when our clearing firm directs order flow to this venue.

#### Jane Street Capital, LLC. (JNST):

Jane Street Capital LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Jane Street Capital LLC when our clearing firm directs order flow to this venue.

#### CODA (CODA):

CODA is an execution venue utilized by both AGP and our Clearing Firm to execute orders. AGP receives payment from CODA for directing order flow to this venue in the amount of \$0.0005 per share. AGP does not receive payment from Citadel Securities LLC when our clearing firm directs order flow to this venue.

#### CBOE EDGX (EDGX):

CBOE EDGX US Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from CBOE EDGX US when our clearing firm directs order flow to this venue.

#### Nasdaq Execution Services, LLC (INET):

NASDAQ Execution Services LLC is an execution venue utilized by our Clearing Firm and Speedroute (Speedroute is a routing venue used by AGP/Alliance Global Partners to execute orders AGP receives payment for order flow in the amount of \$0.0003 per share plus or minus any exchange rebates/fees incurred from Exchanges used by Speedroute) to execute orders. AGP does not receive payment from NASDAQ Execution Services LLC when our clearing firm directs order flow to this venue. AGP does receive payment from Speedroute based on orders sent to this execution venue.

#### G1 Execution Services, LLC (ETMM):

G1 Execution Services LLC Is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from G1 Execution Services LLC when our clearing firm directs order flow to this venue.

#### Two Sigma Securities, LLC (SOHO):

Two Sigma Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from Two Sigma Securities LLC when our clearing firm directs order flow to this venue

#### STATE STREET GLOBAL MARKETS, L (PULX):

State Street Global Markets, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from State Street Global Markets, LLC when our clearing firm directs order flow to this venue.

#### UBS Securities LLC (UBSS):

UBS Securities, LLC is an execution venue utilized by our Clearing Firm to execute orders. AGP does not receive payment from UBS Securities, LLC when our clearing firm directs order flow to this venue.

# December 2021

### Options

#### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 100.00                                    | 54.08  | 0.00   | 44.66  | 1.26  |

| 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<br>for Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|---|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| Citadel<br>Securities, LLC<br>(CDRG)          | 48.24                          | 44.38                   | 0.00                              | 52.22                                     | 73.08                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Global Execution<br>Brokers, LLC<br>(GEBB)    | 15.93                          | 25.54                   | 0.00                              | 4.43                                      | 11.54                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| WOLVERINE<br>EXECUTION<br>SERVICES,<br>(WEXX) | 11.59                          | 0.54                    | 0.00                              | 25.30                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Susquehanna<br>Capital Group<br>(SUSQ)        | 10.14                          | 16.52                   | 0.00                              | 2.27                                      | 15.38                  | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| Dash Fin. (DFIN)                              | 8.69                           | 5.62                    | 0.00                              | 12.65                                     | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |
| MORGAN<br>STANLEY & CO.<br>LLC (MSCO)         | 5.41                           | 7.41                    | 0.00                              | 3.14                                      | 0.00                   | 0.0000  | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000  | 0.0000   | 0.0000   |

#### Citadel Securities, LLC (CDRG):

Citadel Securities is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Global Execution Brokers, LLC (GEBB):

Global Execution Brokers, LP is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### WOLVERINE EXECUTION SERVICES, (WEXX):

Wolverine Execution Services LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Susquehanna Capital Group (SUSQ):

Susquehanna Financial Group is a routing venue used by our Clearing Firm AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### Dash Fin. (DFIN):

Dash Financial Technologies LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.

#### MORGAN STANLEY & CO. LLC (MSCO):

Morgan Stanley & Company LLC is a routing venue used by our Clearing Firm. AGP/Alliance Global Partners routes 100% of its option orders to it Clearing Firms National Financial Services (NFS) and RBC Capital Markets Corporation (RBC) for execution. AGP/Alliance Global Partners does not receive remuneration for routing option orders to National Financial Services and RBC Capital Markets Corporation (RBC) nor does it receive payments based on the subsequent routing decisions of NFS and RBC.