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October 2024

Summary

Venues

Material Aspects:

Northern Trust Securities, Inc. receives payment for order flow in the form of discounts, rebates, reductions of fees or credits. Such payment is variable based on the size and spread in the security at the time of order execution and averages less than \$0.0018 per share. Under some circumstances, the amount of such remuneration may exceed the amount that NTSI is charged by such trading venues. This does not alter NTSI's policy to route customer orders to the trading center where it believes clients will receive the best execution, taking into account, among other factors, price, transaction cost, volatility, market depth, quality of service, speed and efficiency.

October 2024

Summary

Venues

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
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CLEARPOOL EXECUTION SERVICES, LLC (CPEM)	85.14	96.40	50.92	67.77	48.72	-677.3568	-7.9906	-81.3848	-7.1614	-91.3512	-7.6443	-22.6192	-8.0000
Citadel Securities LLC (CDRG)	5.01	0.61	4.67	12.73	35.20	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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Citadel Securities LLC (CDRG):
Northern Trust Securities, Inc. is not charged commission but pays exchange, regulatory, market data and clearing fees and passes on price improvement to client.

October 2024

Options
Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	2.95	1.34	2.06	93.65

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)
DASH ATS (DASH)	77.77	0.00	0.00	0.00	82.98	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WALL STREET ACCESS NYC (WABR)	6.31	0.00	0.00	0.00	6.73	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DASH FINANCIAL TECHNOLOGIES LLC (DFIN)	5.34	11.52	14.14	31.00	4.46	-19.6000	-10.0000	-23.9000	-10.0000	-50.0000	-10.0000	-36,076.8000	-10.0000
MATRIX EXECUTIONS, LLC (MTRX)	4.31	0.00	0.00	0.00	4.60	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

DASH ATS (DASH):
Routing decisions for customer orders are not influenced by any agreement that provides an incentive to route to the market or meeting minimum order flow. Northern Trust Securities, Inc. receives no payment for order flow for these orders and has no volume based thresholds and is charged a flat rate

WALL STREET ACCESS NYC (WABR):

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November 2024

S&P 500 Stocks
Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	82.59	1.96	7.57	7.88

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)
CLEARPOOL EXECUTION SERVICES, LLC (CPEM)	91.96	98.87	72.61	66.96	48.21	-521.8056	-8.0000	-22.7360	-8.0000	-35.2528	-8.0000	-36.6144	-8.0000

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November 2024

Non-S&P 500 Stocks
Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	71.40	13.35	7.65	7.60

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)
CLEARPOOL EXECUTION SERVICES, LLC (CPEM)	86.48	97.51	60.61	62.73	51.45	-812.8280	-7.9786	-105.0224	-7.5405	-56.9608	-8.0000	-60.3128	-8.0000
Citadel Securities LLC (CDRG)	4.84	0.23	5.02	22.25	30.28	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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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	2.37	0.56	1.29	95.77

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)
DASH ATS (DASH)	66.00	0.00	0.00	0.00	68.97	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WALL STREET ACCESS NYC (WABR)	13.52	0.00	0.00	0.00	14.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
MATRIX EXECUTIONS, LLC (MTRX)	7.10	0.00	0.00	0.00	7.42	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DASH FINANCIAL TECHNOLOGIES LLC (DFIN)	4.94	8.72	9.75	41.55	4.32	-28.4000	-10.0000	-14.5000	-10.0000	-46.3000	-10.0000	-28,773.9000	-10.0000

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S&P 500 Stocks
Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	79.61	2.88	4.94	12.58

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)
CLEARPOOL EXECUTION SERVICES, LLC (CPEM)	92.37	97.88	59.15	74.12	71.96	-730.7272	-8.0000	-25.3560	-8.0000	-14.5880	-8.0000	-47.6752	-8.0000

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Non-S&P 500 Stocks
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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	75.56	7.60	7.11	9.73

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CLEARPOOL EXECUTION SERVICES, LLC (CPEM)	83.61	95.18	55.48	52.66	37.82	-1,158.4832	-8.0000	-100.7592	-8.0000	-56.5648	-8.0000	-52.7648	-8.0000
Citadel Securities LLC (CDRG)	8.95	1.21	13.91	28.65	50.73	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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100.00	2.15	0.48	1.56	95.81

Venues

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DASH ATS (DASH)	69.46	0.00	0.00	0.00	72.37	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
MATRIX EXECUTIONS, LLC (MTRX)	9.74	0.00	0.00	0.00	10.17	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WALL STREET ACCESS NYC (WABR)	9.29	0.00	0.00	0.00	9.69	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
DASH FINANCIAL TECHNOLOGIES LLC (DFIN)	5.92	17.59	16.66	41.08	5.03	-33.9000	-10.0000	-23.1000	-10.0000	-64.7000	-10.0000	-27,266.7000	-10.0000

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