

SMITH, BROWN & GROOVER, INC. - Held NMS Stocks and Options Order Routing Public Report
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2nd Quarter, 2020

April 2020

Stocks
Summary

Directed Orders as % of All Orders	Orders as % of Non-Directed Orders	Limit Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Orders as % of Non-Directed Orders
100.00	72.65	0.00	27.35	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other Orders(%)	Payment Paid/Received for Market Orders(USD)	Payment Paid/Received for Market Orders(cents per)	Payment Paid/Received for Marketable Limit Orders(USD)	Payment Paid/Received for Marketable Limit Orders(cents)	Payment Paid/Received for Non-Marketable Limit Orders(USD)	Payment Paid/Received for Non-Marketable Limit Orders(cents)	Net Payment Paid/Received for Other Orders(USD)	Payment Paid/Received for Other Orders(cents per hundred)
Securities LLC(CDRG)	49.67	73.86	0.00	15.87	0.00	0	0	0	0	0	0	0	0
Chicago Board Options Stock	25.17	13.64	0.00	41.27	0.00	0	0	0	0	0	0	0	0
Execution Services, LLC(NSDQ)	13.25	0.00	0.00	31.75	0.00	0	0	0	0	0	0	0	0
Stock Exchange(Interactive Brokers LLC(IBKR))	4.64	0.00	0.00	11.11	0.00	0	0	0	0	0	0	0	0
BlockCross (SSBS)	3.97	6.82	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Americas LLC(NITE)	1.99	3.41	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Securities, LLC(UBSS)	0.66	1.14	0.00	0.00	0.00	0	0	0	0	0	0	0	0

Aspects:

April 2020

Non-S&P
500 Stocks
Summary

Directed Orders as % of All Orders	Orders as % of Non-Directed Orders	Limit Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Orders as % of Non-Directed Orders
100.00	80.00	0.00	20.00	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other Orders(%)	Payment Paid/Received for Market Orders(USD)	Payment Paid/Received for Market Orders(cents per)	Payment Paid/Received for Marketable Limit Orders(USD)	Payment Paid/Received for Marketable Limit Orders(cents)	Payment Paid/Received for Non-Marketable Limit Orders(USD)	Payment Paid/Received for Non-Marketable Limit Orders(cents)	Net Payment Paid/Received for Other Orders(USD)	Payment Paid/Received for Other Orders(cents per hundred)
Securities LLC(CDRG)	53.09	61.82	100.00	32.00	0.00	0	0	0	0	0	0	0	0
Chicago Board Options Stock	13.58	5.45	0.00	32.00	0.00	0	0	0	0	0	0	0	0
Interactive Brokers LLC(IBKR)	13.58	20.00	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Execution Services, LLC(NSDQ)	9.88	0.00	0.00	32.00	0.00	0	0	0	0	0	0	0	0
BlockCross (SSBS)	8.64	12.73	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Stock Exchange	1.23	0.00	0.00	4.00	0.00	0	0	0	0	0	0	0	0

Aspects:

April 2020

Contracts Summary

Directed Orders as % of All Orders	Orders as % of Non-Directed Orders	Limit Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Orders as % of Non-Directed Orders
0.00	0.00	0.00	0.00	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other Orders(%)	Payment Paid/Received for Market Orders(USD)	Payment Paid/Received for Market Orders(cents per)	Payment Paid/Received for Marketable Limit Orders(USD)	Payment Paid/Received for Marketable Limit Orders(cents)	Payment Paid/Received for Non-Marketable Limit Orders(USD)	Payment Paid/Received for Non-Marketable Limit Orders(cents)	Net Payment Paid/Received for Other Orders(USD)	Payment Paid/Received for Other Orders(cents per hundred)
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Aspects:

Execution Services, LLC(NSDQ)	12.50	0.00	0.00	34.62	0.00	0	0	0	0	0	0	0	0
BlockCross (SSBS)	2.78	4.35	0.00	0.00	0.00	0	0	0	0	0	0	0	0
US Equities Exchange(ZBAT)	1.39	0.00	0.00	3.85	0.00	0	0	0	0	0	0	0	0

Aspects:

May 2020

Contracts Summary

Directed Orders as % of All Orders	Orders as % of Non-Directed Orders	Limit Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Orders as % of Non-Directed Orders
0.00	0.00	0.00	0.00	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other Orders(%)	Payment Paid/Received for Market Orders(USD)	Payment Paid/Received for Market Orders(cent s per	Payment Paid/Received for Marketable Orders(USD	Payment Paid/Received for Marketable Orders(cent	Payment Paid/Received for Non-Marketable Orders(USD	Payment Paid/Received for Non-Marketable Orders(cent	Net Payment Paid/Received for Other Orders(USD)	Payment Paid/Received for Other Orders(cent s per hundred
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Aspects:

June 2020

Stocks Summary

Directed Orders as % of All Orders	Orders as % of Non-Directed Orders	Limit Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Orders as % of Non-Directed Orders
100.00	93.23	0.00	6.77	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other Orders(%)	Payment Paid/Received for Market Orders(USD)	Payment Paid/Received for Market Orders(cent s per	Payment Paid/Received for Marketable Orders(USD	Payment Paid/Received for Marketable Orders(cent	Payment Paid/Received for Non-Marketable Orders(USD	Payment Paid/Received for Non-Marketable Orders(cent	Net Payment Paid/Received for Other Orders(USD)	Payment Paid/Received for Other Orders(cent s per hundred
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BlockCross (SSBS)	1.06	1.18	0.00	0.00	0.00	0	0	0	0	0	0	0	0
US Equities Exchange(ZBAT)	1.06	0.00	0.00	12.50	0.00	0	0	0	0	0	0	0	0

Aspects:

June 2020

Contracts Summary

Directed Orders as % of All Orders	Orders as % of Non-Directed Orders	Limit Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Orders as % of Non-Directed Orders
0.00	0.00	0.00	0.00	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other Orders(%)	Payment Paid/Received for Market Orders(USD)	Payment Paid/Received for Market Orders(cents per)	Payment Paid/Received for Marketable Limit Orders(USD)	Payment Paid/Received for Marketable Limit Orders(cents)	Payment Paid/Received for Non-Marketable Limit Orders(USD)	Payment Paid/Received for Non-Marketable Limit Orders(cents)	Net Payment Paid/Received for Other Orders(USD)	Payment Paid/Received for Other Orders(cents per hundred)

Aspects: