

# TradeUP Securities Inc - Held NMS Stocks and Options Order Routing Public Report

Generated on Thu Jul 25 2024 18:44:07 GMT-0400 (Eastern Daylight Time)

2nd Quarter, 2024

April 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	0.15	18.73	71.70	9.42

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	67.15	81.87	66.69	66.27	74.52	53.75	20.0000	7,908.26	17.2114	11,350.61	17.5386	2,918.37	18.4714
Dash Financial Technologies	15.40	0.00	15.80	16.41	7.10	0.00	0.0000	8.98	12.0300	0.00	0.0000	458.06	37.2497
Jane Street Capital	13.68	18.13	14.06	13.23	16.22	26.04	20.0000	2,121.11	20.0000	2,946.18	20.0000	698.90	20.0000

### Material Aspects:

#### CITADEL SECURITIES LLC:

TradeUP Securities handles customer orders for equities and options on an agency only basis, and routes customer orders out to certain execution venues (specifically, other broker-dealers) to complete the execution of customer orders. Though TradeUP does not execute customer orders directly, TradeUP reviews the execution quality that these execution venues provide, to ensure that customer orders are filled as quickly as possible and are receiving the most favorable execution pricing at the time of execution. The statistics above list the execution venues where customer orders are routed to, as well as the types of orders they receive from TradeUP and the percentage makeup of those orders. Customers should be aware that as part of a pre-existing arrangement, in exchange for receiving customer orders from TradeUP, these listed execution venues will then provide funds to TradeUP. Such an arrangement is commonly referred to as "Payment-For-Order-Flow" ("PFOF"). Though TradeUP receives PFOF from these venues, please be aware that TradeUP has no preference between one execution venue over. Additionally, our arrangement with these execution venues DOES NOT include any increase or decrease in PFOF based on the amount of orders sent to them for execution (examples of this would be payments contingent upon volume-based tiered payment schedules, agreements regarding minimum order flow, incentives for exceeding order flow thresholds or disincentives for failing to meet order flow thresholds). As such, TradeUP is not influenced or incentivized by any of fees paid for by any execution venue. It is still TradeUP's responsibility to ensure that any of the below listed venues that TradeUP routes customer orders to provide the best pricing (with an emphasis on customer orders obtaining price improvements whenever possible) and best execution quality possible. As part of this report, the payments that TradeUP receives from each execution venue in exchange for PFOF are as follows:

#### CITADEL SECURITIES LLC (Citadel)

If the stock price of the underlying security in a customer order is equal to or greater than \$1.00 per share, TradeUP Securities receives from Citadel \$0.0020 per share and \$0.50 per contract for options orders. If the stock price is less than \$1.00 per share, TradeUP Securities does not receive any payment. If orders are sent to an Algorithmic Trading Platform that is operated by Citadel, TradeUP receives \$0.001 per share.

#### Dash Financial Technologies:

If the stock price of the underlying security in a customer order is equal to or greater than \$1.00 per share, TradeUP Securities receives \$0.50 per contract for options orders; if the stock price is less than \$1.00 per share, TradeUP Securities does not receive any such payment. If orders are sent to an Algorithmic Trading Platform that is operated by Dash, TradeUP receives \$0.0005 per share.

#### Jane Street Capital:

If the stock price of the underlying security in a customer order is equal to or greater than \$1.00 per share, TradeUP Securities receives from Jane Street Capital \$0.0020 per share. If the stock price is less than \$1.00 per share, TradeUP Securities does not receive any payment.

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## April 2024

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### 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	0.27	21.16	72.89	5.67

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	65.33	40.28	66.27	64.55	73.05	1,171.50	12.8899	87,547.35	11.7044	91,512.71	12.5255	7,322.85	17.0104
Dash Financial Technologies	16.86	48.87	14.74	17.98	8.73	3,385.84	8.7960	103.90	6.4292	0.00		9,627.00	23.0459
Jane Street Capital	13.53	9.83	14.22	13.12	16.32	255.54	10.2630	24,869.68	13.3633	20,483.13	14.1235	2,044.12	19.2143

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## April 2024

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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	12.89	11.90	74.66	0.55

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	69.42	68.98	70.12	69.42	65.73	34,979.50	38.7464	216,480.50	35.6456	295,531.50	33.6633	39,976.00	47.4746
Global Execution Brokers, LP	20.03	20.58	19.77	19.97	21.10	10,815.89	44.0100	58,031.70	44.2764	128,560.75	42.4086	10,237.56	46.8024
Dash Financial Technologies	10.55	10.43	10.11	10.62	13.18	19,181.72	45.2442	115,928.98	45.4022	142,066.29	42.1132	33,186.62	47.6628

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## May 2024

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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	0.16	16.42	76.09	7.33

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	64.14	80.25	62.34	63.63	73.00	34.02	20.0000	6,482.22	18.0368	9,708.66	18.3355	1,914.16	19.0347
Dash Financial Technologies	18.96	0.00	21.43	19.47	8.59	0.00	0.0000	40.10	46.3014	0.00	0.0000	600.36	45.2017
Jane Street Capital	13.58	19.75	13.66	13.22	16.96	12.17	20.0000	1,845.09	20.0000	2,266.67	20.0000	450.75	20.0000

**Material Aspects:**

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## May 2024

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### 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	0.15	21.79	71.48	6.58

**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)
CITADEL SECURITIES LLC	62.91	42.68	61.57	62.65	70.71	982.02	20.0000	163,157.59	9.6013	154,621.06	9.1917	17,724.10	13.7413
Dash Financial Technologies	20.44	34.85	22.21	20.72	11.14	5,039.76	8.9804	472.09	8.0776	0.00	0.0000	24,743.13	19.6080
Jane Street Capital	13.28	10.87	13.05	13.06	16.58	143.92	19.9986	49,249.89	11.5510	35,554.37	10.8680	4,169.03	15.9330

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## May 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	13.13	11.12	75.38	0.37

#### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	71.04	68.29	72.19	71.38	64.66	34,463.00	47.1508	329,701.00	49.0385	446,611.50	48.3170	34,353.00	46.9900
Dash Financial Technologies	16.74	19.83	15.73	16.34	19.34	20,953.68	45.0384	175,988.92	47.9895	226,646.61	46.7795	23,060.88	45.0408
Global Execution Brokers, LP	11.92	11.82	11.75	11.94	15.77	5,477.97	44.8720	36,994.42	47.8199	81,951.02	46.8348	5,428.34	44.0898

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## June 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	0.13	17.24	76.30	6.32

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	64.88	78.59	66.71	63.86	71.87	17.35	20.0000	13,795.64	18.3598	19,807.95	18.7432	4,888.07	19.4174
Dash Financial Technologies	18.09	0.00	16.28	19.24	9.45	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	14.05	21.41	14.55	13.66	17.19	7.08	20.0000	3,575.94	20.0000	4,760.76	20.0000	1,272.47	20.0000

## Material Aspects:

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## June 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	0.11	21.43	72.03	6.44

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	63.01	60.43	62.63	62.37	71.56	301.05	20.0000	72,917.84	8.2948	85,803.59	9.9153	6,604.43	11.4503
Dash Financial Technologies	20.45	22.42	21.07	21.17	10.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	13.32	14.91	13.57	12.98	16.38	48.54	20.0000	22,538.99	10.3180	19,613.73	10.4306	1,699.58	13.8814

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## June 2024

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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	2.26	11.09	76.71	9.94

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	75.79	75.72	77.58	76.37	69.33	59,810.50	48.5286	381,402.00	49.0609	556,371.00	48.5510	32,994.00	47.1451
Dash Financial Technologies	23.25	23.20	21.41	22.55	30.67	25,872.37	47.8692	129,317.43	48.5286	195,937.58	47.3784	21,550.68	45.7105

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