

# Ally Invest Securities LLC - Held NMS Stocks and Options Order Routing Public Report

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2nd Quarter, 2021

April 2021

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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	21.20	3.99	62.90	11.90

### 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	41.43	40.51	41.27	40.84	46.29	7,849.52	22.0000	2,435.81	22.0000	8,241.39	30.0000	1,841.08	16.9394
G1 Execution Services, LLC	40.26	40.20	41.08	40.90	36.73	7,989.78	23.2845	2,378.76	23.1556	8,392.36	30.0000	1,251.69	26.8606
Virtu Americas, LLC	18.31	19.29	17.65	18.27	16.98	3,740.86	21.5023	1,615.31	23.8942	3,485.13	30.0000	347.74	23.2084
Apex Clearing Corporation	0.00	0.00	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

#### CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Citadel. Payment was based on order type, size and time of day.

#### G1 Execution Services, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by G1 Execution Services. Payment was based on order type and size.

#### Virtu Americas, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Virtu. Payment was based on order type, size and time of day.

#### Apex Clearing Corporation:

Ally Invest Securities LLC did not receive any payment from its clearing firm, Apex Clearing Corp. and routed de minimis orders to them.

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April 2021

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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	20.19	5.06	66.18	8.57

### 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	41.53	40.40	41.80	40.91	48.79	43,078.10	20.4897	21,945.57	20.0872	43,655.16	28.0638	10,221.54	16.4580
G1 Execution Services, LLC	40.30	40.50	41.22	40.83	35.12	50,123.62	23.2533	24,468.12	23.7736	45,213.72	28.2711	8,329.96	27.1198
Virtu Americas, LLC	18.18	19.10	16.98	18.26	16.09	23,750.77	22.0738	9,427.54	21.6699	17,321.97	29.4832	1,343.61	24.2565
Apex Clearing Corporation	0.00	0.00	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Citadel. Payment was based on order type, size and time of day.

G1 Execution Services, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by G1 Execution Services. Payment was based on order type and size.

Virtu Americas, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Virtu. Payment was based on order type, size and time of day.

Apex Clearing Corporation:

Ally Invest Securities LLC did not receive any payment from its clearing firm, Apex Clearing Corp. and routed de minimis orders to them.

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## April 2021

### 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	5.08	8.72	55.02	31.17

## 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	44.74	35.75	38.07	43.40	50.42	30,063.50	49.7444	84,945.00	49.7295	93,331.50	49.6251	62,001.50	47.0564
Wolverine Execution Services, LLC	28.40	28.66	24.43	30.14	26.39	21,724.00	44.0524	44,978.30	47.9861	70,386.90	50.0284	34,605.98	49.4258
Global Execution Brokers LP	26.86	35.60	37.50	26.46	23.18	30,172.83	46.9433	73,645.20	48.1093	92,798.40	49.9612	38,459.69	48.4458

### Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Citadel. Payment was based on the underlying option security.

Wolverine Execution Services, LLC:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Wolverine. Payment was based on the underlying option security and order type.

Global Execution Brokers LP:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Global Execution Brokers. Payment was based on the underlying option security and order type.

## May 2021

## 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	22.60	4.24	61.10	12.06

## 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	43.38	42.81	44.82	42.74	47.21	9,120.57	22.0000	2,376.19	21.9999	8,710.82	30.0000	2,285.90	18.3839
G1 Execution Services, LLC	35.32	34.61	34.12	36.15	32.85	7,016.79	23.3046	2,049.71	24.6022	7,044.59	30.0000	1,236.12	27.6570
Virtu Americas, LLC	21.30	22.58	21.06	21.11	19.94	4,718.52	21.6382	911.40	21.9754	4,044.13	29.9993	485.37	23.2172

## Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Citadel. Payment was based on order type, size and time of day.

G1 Execution Services, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by G1 Execution Services. Payment was based on order type and size.

Virtu Americas, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Virtu. Payment was based on order type, size and time of day.

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## May 2021

### 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	22.43	5.36	63.19	9.02

#### 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	43.55	42.55	44.34	42.77	51.05	42,827.03	20.7927	19,959.92	19.8221	45,717.27	28.3450	10,741.00	16.0717
G1 Execution Services, LLC	35.44	35.08	35.33	36.27	30.64	39,274.58	22.9453	17,489.06	23.5354	38,502.30	28.3909	6,930.54	27.8225
Virtu Americas, LLC	21.00	22.36	20.33	20.96	18.32	25,323.45	21.5818	9,428.23	21.6584	19,704.81	29.5570	1,410.87	24.2788

## Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Citadel. Payment was based on order type, size and time of day.

G1 Execution Services, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by G1 Execution Services. Payment was based on order type and size.

Virtu Americas, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Virtu. Payment was based on order type, size and time of day.

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## May 2021

### 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	5.24	8.72	53.34	32.71

## 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	45.08	35.74	37.91	43.30	51.39	30,215.50	49.7842	76,418.50	49.8113	87,542.50	49.6222	64,765.50	45.9447
Wolverine Execution Services, LLC	28.27	28.65	24.63	30.00	26.37	22,655.25	44.0224	41,613.55	48.6401	64,284.00	49.4553	36,362.16	48.3058
Global Execution Brokers LP	26.65	35.61	37.47	26.69	22.24	26,623.69	44.7901	73,963.48	49.1913	88,552.84	49.3111	38,632.59	46.8467

## Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Citadel. Payment was based on the underlying option security.

Wolverine Execution Services, LLC:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Wolverine. Payment was based on the underlying option security and order type.

Global Execution Brokers LP:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Global Execution Brokers. Payment was based on the underlying option security and order type.

## June 2021

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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	20.57	3.71	63.34	12.38

### 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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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	42.71	41.76	42.82	42.38	46.00	8,150.53	22.0000	2,414.92	21.9999	8,838.51	30.0000	2,044.00	18.4237
G1 Execution Services, LLC	36.25	36.68	37.71	36.50	33.81	6,986.19	22.8670	2,248.51	23.7764	7,444.82	29.9996	1,138.34	27.4465
Virtu Americas, LLC	21.04	21.56	19.47	21.12	20.19	4,084.28	21.0998	1,614.34	24.2786	3,760.69	29.9998	359.22	23.1547

#### Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Citadel. Payment was based on order type, size and time of day.

G1 Execution Services, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by G1 Execution Services. Payment was based on order type and size.

Virtu Americas, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Virtu. Payment was based on order type, size and time of day.

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## June 2021

### 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	22.03	5.32	62.37	10.28

#### 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	43.16	41.62	43.43	42.48	50.45	58,790.57	21.1281	29,527.91	20.9665	54,767.49	29.0343	16,020.74	16.5652
G1 Execution Services, LLC	36.16	36.98	37.20	36.62	31.04	58,481.27	23.0537	25,861.35	23.5282	48,212.78	28.5078	9,682.34	27.3446
Virtu Americas, LLC	20.68	21.40	19.36	20.90	18.51	33,249.47	21.9037	13,305.14	22.3687	23,846.99	29.6677	1,965.34	23.8777

#### Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Citadel. Payment was based on order type, size and time of day.

G1 Execution Services, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by G1 Execution Services. Payment was based on order type and size.

Virtu Americas, LLC:

Ally Invest Securities LLC received payment for certain equity orders routed to and executed by Virtu. Payment was based on order type, size and time of day.

## June 2021

### 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	5.17	9.41	54.75	30.66

#### 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	44.36	35.56	37.93	42.48	51.17	36,564.00	49.9809	102,797.00	49.8033	103,256.00	49.2584	69,199.00	45.6295
Wolverine Execution Services, LLC	28.54	28.68	24.87	30.49	26.16	26,661.50	47.4700	65,024.75	53.9481	79,226.00	50.6175	46,156.38	49.0811
Global Execution Brokers LP	27.10	35.76	37.20	27.03	22.67	36,910.62	51.1880	97,458.12	52.9560	111,139.73	52.1274	45,423.60	48.7954

#### Material Aspects:

CITADEL SECURITIES LLC:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Citadel. Payment was based on the underlying option security.

Wolverine Execution Services, LLC:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Wolverine. Payment was based on the underlying option security and order type.

Global Execution Brokers LP:

Ally Invest Securities LLC received payment for certain option orders routed to and executed by Global Execution Brokers. Payment was based on the underlying option security and order type.