

Sample Transaction Cost Analysis (Report Format #1)

Report Type: Detailed Orders with Default Benchmarks; Presented from Best to Worst Price Improvement.

Benchmark: Open price for orders entered pre-open, close price for MOC orders, consolidated TWAP for VWAP strategy orders.
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Obs	Masked UNX Order ID	Price Improve. (cps)	Type	MOC Order?	VWAP Order?	Benchmark	Benchmark	Average Price	Order Entered (NYT)	Symbol	Buy or Sell	Listed or OTC	Ordered (shares)	Received (shares)	Time to Last Fill (h:m:s)
1	1401924	9.00¢	Limit	no	no	NBBO at order entry	\$18.2600	\$18.3500	9:30:50	XNPT	SH	OTC	1,000	1,000	0:34:01
2	1409743	8.00¢	Market	no	no	NBBO at order entry	\$67.3600	\$67.4400	9:41:34	DNB	Sell	Listed	200	200	0:00:07
3	1373445	7.00¢	Market	no	no	NBBO at order entry	\$29.4900	\$29.4200	15:54:39	PPL	Buy	Listed	29	29	0:01:15
4	1340261	4.00¢	Limit	no	no	NBBO at order entry	\$3.6400	\$3.6000	13:36:38	ROFO	Buy	OTC	3,000	3,000	0:01:40
5	1321881	4.00¢	Limit	no	no	NBBO at order entry	\$11.3100	\$11.3500	10:33:22	NRF	Sell	Listed	100	100	0:13:09
6	1232982	4.00¢	Limit	no	no	NBBO at order entry	\$28.1900	\$28.2300	13:38:17	SYNA	Sell	OTC	100	100	0:00:06
7	1351588	4.00¢	Limit	no	no	NBBO at order entry	\$32.0200	\$32.0600	9:42:06	SPF	Sell	Listed	100	100	0:00:05
8	1505932	3.60¢	Limit	no	no	NBBO at order entry	\$28.7700	\$28.8060	12:57:23	SPWR	SH	OTC	5,000	5,000	0:27:49
9	1345177	3.00¢	Limit	no	no	NBBO at order entry	\$8.9500	\$8.9800	9:55:06	METH	Sell	OTC	152	152	0:00:05
10	1285793	3.00¢	Limit	no	no	NBBO at order entry	\$26.2500	\$26.2800	11:28:23	ILMN	Sell	OTC	100	100	0:00:41
11	1243767	3.00¢	Market	no	no	NBBO at order entry	\$32.5600	\$32.5300	10:44:24	GE	Buy	Listed	150	150	0:00:40
12	1288412	3.00¢	Limit	no	no	NBBO at order entry	\$51.8700	\$51.9000	13:18:12	DFG	Sell	Listed	300	300	0:15:36
13	1322950	3.00¢	Limit	no	no	NBBO at order entry	\$79.4600	\$79.4900	11:45:21	MRO	Sell	Listed	100	100	0:00:25
14	1384394	2.84¢	Market	no	no	NBBO at order entry	\$25.0900	\$25.1184	14:24:14	CET	Sell	Listed	1,847	1,847	0:02:02
15	1311441	2.00¢	Market	no	no	NBBO at order entry	\$42.0700	\$42.0900	14:30:01	FHN	SH	Listed	200	200	0:01:41
16	1517856	2.00¢	Limit	no	no	NBBO at order entry	\$54.1500	\$54.1700	10:23:21	SEIC	Sell	OTC	104	104	0:00:06
17	1299490	2.00¢	Market	no	no	NBBO at order entry	\$62.1100	\$62.1300	15:37:36	MS	Sell	Listed	95	95	0:00:26

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18	1497426	2.00¢	Limit	no	no	NBBO at order entry	\$11.4200	\$11.4400	9:46:03	BWNG	Sell	OTC	92	92	0:00:11
19	1451574	2.00¢	Limit	no	no	NBBO at order entry	\$12.7500	\$12.7300	12:21:48	PRFT	Buy	OTC	100	100	0:05:30
20	1351616	2.00¢	Limit	no	no	NBBO at order entry	\$67.5400	\$67.5600	15:20:00	TRN	Sell	Listed	200	200	0:00:08
21	1507974	1.00¢	Market	no	no	NBBO at order entry	\$35.0900	\$35.0800	15:44:52	EXP	Buy	Listed	313	313	0:00:12
22	1402665	1.00¢	Limit	no	no	NBBO at order entry	\$67.7600	\$67.7500	13:48:49	IWM	Buy	Listed	1,000	1,000	0:00:00
23	1430344	1.00¢	Limit	no	no	NBBO at order entry	\$69.9100	\$69.9200	10:37:52	KMG	Sell	Listed	100	100	0:00:05
24	1254494	1.00¢	Market	no	no	NBBO at order entry	\$77.2900	\$77.2800	15:04:59	EXPD	Buy	OTC	75	75	0:00:00
25	1224119	1.00¢	Limit	no	no	NBBO at order entry	\$78.3600	\$78.3700	15:16:57	D	Sell	Listed	100	100	0:00:20
26	1245189	1.00¢	Limit	no	no	NBBO at order entry	\$98.3300	\$98.3200	12:40:25	FDX	Buy	Listed	300	300	0:00:05
27	1223727	1.00¢	Limit	no	no	NBBO at order entry	\$16.3000	\$16.2900	10:46:53	CF	Buy	Listed	200	200	0:00:03
28	1203609	1.00¢	Limit	no	no	NBBO at order entry	\$18.0000	\$17.9900	13:26:22	KG	Buy	Listed	900	900	0:02:10
29	1456114	1.00¢	Limit	no	no	NBBO at order entry	\$24.3400	\$24.3300	9:50:38	BMY	Buy	Listed	900	900	0:00:04
30	1218748	1.00¢	Limit	no	no	NBBO at order entry	\$26.7900	\$26.8000	11:00:44	FSL	Sell	Listed	20,000	1,800	0:09:39
31	1223473	1.00¢	Limit	no	no	NBBO at order entry	\$27.5300	\$27.5200	11:00:19	SCSS	Buy	OTC	88	88	0:00:00
32	1245464	1.00¢	Limit	no	no	NBBO at order entry	\$30.0000	\$30.0100	13:19:40	BNK	Sell	Listed	200	200	0:00:03
33	1289033	1.00¢	Limit	no	no	NBBO at order entry	\$14.4700	\$14.4800	15:20:00	SYKE	Sell	OTC	200	200	0:00:47
34	1449869	1.00¢	Limit	no	no	NBBO at order entry	\$22.4500	\$22.4400	14:19:36	BMC	Buy	Listed	100	100	0:00:02

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35	1208543	1.00¢	Limit	no	no	NBBO at order entry	\$28.6400	\$28.6500	13:25:03	RMBS	Sell	OTC	200	200	0:00:05
36	1238784	1.00¢	Market	no	no	NBBO at order entry	\$39.7200	\$39.7100	15:43:47	IR	Buy	Listed	100	100	0:01:13
37	1219268	1.00¢	Market	no	no	NBBO at order entry	\$41.5400	\$41.5500	14:34:25	ABT	Sell	Listed	300	300	0:00:41
38	1409081	1.00¢	Limit	no	no	NBBO at order entry	\$41.9100	\$41.9000	11:50:26	ALEX	Buy	OTC	100	100	0:00:33
39	1254096	1.00¢	Market	no	no	NBBO at order entry	\$44.3100	\$44.3200	13:16:38	BAC	Sell	Listed	10	10	0:00:05
40	1243536	1.00¢	Market	no	no	NBBO at order entry	\$54.0900	\$54.1000	9:32:01	WB	Sell	Listed	3	3	0:00:06
41	1432584	0.83¢	Limit	no	no	NBBO at order entry	\$19.6000	\$19.6083	10:48:13	BLKB	SH	OTC	600	600	0:01:30
42	1334294	0.03¢	Market	no	no	NBBO at order entry	\$56.4200	\$56.4197	10:35:14	NVS	Buy	Listed	305	305	0:00:29
43	1322945	0.00¢	Limit	no	no	NBBO at order entry	\$81.0000	\$81.0000	12:38:33	MMM	Sell	Listed	100	100	0:00:02
44	1415983	0.00¢	Limit	no	no	NBBO at order entry	\$9.8500	\$9.8500	15:31:52	WTHN	Buy	OTC	1,500	1,500	0:00:02
45	1457256	0.00¢	Limit	no	no	NBBO at order entry	\$8.4400	\$8.4400	15:29:08	MPX	Buy	Listed	100	100	0:00:04
46	1510251	0.00¢	Limit	no	no	NBBO at order entry	\$17.0600	\$17.0600	9:44:10	CRFT	SH	OTC	200	200	0:00:00
47	1512851	0.00¢	Limit	no	no	NBBO at order entry	\$10.9600	\$10.9600	14:32:44	MLNM	Buy	OTC	200	200	0:00:00
48	1250516	0.00¢	Market	no	no	NBBO at order entry	\$35.3400	\$35.3400	11:49:09	A	Sell	Listed	150	150	0:00:11
49	1241954	0.00¢	Market	no	no	NBBO at order entry	\$26.9600	\$26.9600	12:23:11	CMCSA	Sell	OTC	1	1	0:00:00
50	1293742	0.00¢	Market	no	no	NBBO at order entry	\$68.9400	\$68.9400	13:17:05	BCR	Buy	Listed	25	25	0:00:23
51	1299316	0.00¢	Market	no	no	NBBO at order entry	\$47.6700	\$47.6700	14:51:49	C	Sell	Listed	10	10	0:00:06

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52	1300617	0.00¢	Market	no	no	NBBO at order entry	\$26.6700	\$26.6700	13:57:36	CMCSA	Buy	OTC	175	175	0:00:00
53	1275815	0.00¢	Market	no	no	NBBO at order entry	\$62.9100	\$62.9100	14:06:45	EFA	Buy	Listed	189	189	0:00:12
54	1285027	0.00¢	Market	no	no	NBBO at order entry	\$35.5300	\$35.5300	11:39:06	LLTC	Sell	OTC	138	138	0:00:00
55	1310677	0.00¢	Market	no	no	NBBO at order entry	\$86.7800	\$86.7800	9:46:39	CBE	Buy	Listed	21	21	0:00:18
56	1327484	0.00¢	Market	no	no	NBBO at order entry	\$69.4600	\$69.4600	11:32:44	UN	Buy	Listed	11	11	0:00:00
57	1353876	0.00¢	Market	no	no	NBBO at order entry	\$51.6300	\$51.6300	11:32:20	DOV	Sell	Listed	78	78	0:00:20
58	1364508	0.00¢	Market	no	no	NBBO at order entry	\$44.4800	\$44.4800	15:16:03	SEIC	Sell	OTC	125	125	0:00:00
59	1374657	0.00¢	Market	no	no	NBBO at order entry	\$43.5500	\$43.5500	13:37:15	STA	Buy	Listed	25	25	0:00:01
60	1411832	0.00¢	Market	no	no	NBBO at order entry	\$19.5400	\$19.5400	11:53:33	CSCO	Buy	OTC	90	90	0:00:00
61	1382099	0.00¢	Market	no	no	Day Open	\$51.2000	\$51.2000	8:30:25	MDT	Sell	Listed	25	25	1:02:01
62	1444346	0.00¢	Market	no	no	NBBO at order entry	\$28.1400	\$28.1400	13:50:47	ACN	Sell	Listed	250	250	0:00:00
63	1431804	0.00¢	Market	no	no	NBBO at order entry	\$35.1900	\$35.1900	15:39:54	CCRT	Buy	OTC	10	10	0:00:24
64	1423517	0.00¢	Market	no	no	Day Open	\$78.0900	\$78.0900	8:14:43	IBM	Buy	Listed	2	2	1:16:43
65	1491147	0.00¢	Market	no	no	NBBO at order entry	\$49.2300	\$49.2300	13:33:55	ERTS	Sell	OTC	6	6	0:00:00
66	1483743	0.00¢	Market	no	no	NBBO at order entry	\$19.6400	\$19.6400	15:44:52	NWS	Sell	Listed	137	137	0:00:11
67	1465586	0.00¢	Market	no	no	NBBO at order entry	\$106.8000	\$106.8000	15:55:42	OXY	Sell	Listed	200	200	0:00:01
68	1502498	0.00¢	Market	no	no	Day Open	\$18.4000	\$18.4000	8:59:12	CHS	Sell	Listed	365	365	0:34:14

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69	1200606	0.00¢	Market	no	no	NBBO at order entry	\$17.5100	\$17.5100	9:50:32	ATYT	Buy	OTC	3,500	3,500	0:00:02
70	1226692	0.00¢	Market	no	no	NBBO at order entry	\$45.2100	\$45.2100	11:38:00	KOSP	Buy	OTC	100	100	0:00:00
71	1200766	0.00¢	Market	no	no	NBBO at order entry	\$24.0600	\$24.0600	10:51:32	SUG	Buy	Listed	900	900	0:00:07
72	1237453	0.00¢	Market	no	no	NBBO at order entry	\$29.4000	\$29.4000	11:57:15	LMS	Buy	Listed	100	100	0:00:09
73	1269357	0.00¢	Market	no	no	NBBO at order entry	\$42.2100	\$42.2100	15:53:50	LRCX	Sell	OTC	700	700	0:00:01
74	1251154	0.00¢	Market	no	no	NBBO at order entry	\$52.8900	\$52.8900	15:32:50	LUK	Buy	Listed	61	61	0:00:20
75	1305041	0.00¢	Market	no	no	NBBO at order entry	\$47.3200	\$47.3200	14:32:02	C	Buy	Listed	100	100	0:00:00
76	1292070	0.00¢	Market	no	no	NBBO at order entry	\$5.7600	\$5.7600	10:03:19	CDE	Sell	Listed	283	283	0:00:01
77	1303353	0.00¢	Market	no	no	NBBO at order entry	\$387.7000	\$387.7000	14:01:25	GOOG	Buy	OTC	100	100	0:00:01
78	1303728	0.00¢	Market	no	no	NBBO at order entry	\$26.9500	\$26.9500	15:57:59	PWEI	Sell	OTC	100	100	0:00:01
79	1318458	0.00¢	Market	no	no	NBBO at order entry	\$54.0300	\$54.0300	10:23:04	CLB	Sell	Listed	59	59	0:00:01
80	1334831	0.00¢	Market	no	no	NBBO at order entry	\$27.7500	\$27.7500	13:42:43	CROX	Buy	OTC	500	500	0:00:00
81	1362481	0.00¢	Market	no	no	NBBO at order entry	\$70.6400	\$70.6400	15:43:31	BP	Buy	Listed	100	100	0:00:00
82	1368925	0.00¢	Market	no	no	NBBO at order entry	\$43.1300	\$43.1300	14:54:10	GMT	Buy	Listed	300	300	0:00:18
83	1387706	0.00¢	Market	no	no	NBBO at order entry	\$44.9900	\$44.9900	12:36:18	HCA	Buy	Listed	20	20	0:00:01
84	1403989	0.00¢	Market	no	no	NBBO at order entry	\$265.9000	\$265.9000	10:52:01	MITSY	Buy	OTC	189	189	0:00:01
85	1425065	0.00¢	Market	no	no	NBBO at order entry	\$12.1800	\$12.1800	15:55:53	OPTC	Buy	OTC	200	200	0:00:01

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86	1465257	0.00¢	Market	no	no	NBBO at order entry	\$66.2400	\$66.2400	14:33:24	CAH	Sell	Listed	100	100	0:00:00
87	1480334	0.00¢	Market	no	no	NBBO at order entry	\$13.2100	\$13.2100	11:34:35	PDC	Sell	Listed	200	200	0:00:15
88	1468281	0.00¢	Market	no	no	NBBO at order entry	\$33.1100	\$33.1100	14:50:45	RDC	Sell	Listed	100	100	0:00:00
89	1507862	0.00¢	Market	yes	no	Day Close	\$68.0300	\$68.0300	15:20:00	NOC	Sell	Listed	1,300	1,300	0:41:10
90	1498920	0.00¢	Market	no	no	NBBO at order entry	\$31.7000	\$31.7000	15:58:15	SAFM	Buy	OTC	900	900	0:00:01
91	1467764	-0.06¢	Market	no	no	NBBO at order entry	\$30.8900	\$30.8894	11:21:40	GYMB	Sell	OTC	700	700	0:00:04
92	1211441	-0.50¢	Limit	no	no	NBBO at order entry	\$4.5900	\$4.5950	12:38:27	CALD	Buy	OTC	1,000	1,000	0:04:54
93	1252547	-0.66¢	Market	no	no	NBBO at order entry	\$7.0900	\$7.0834	14:21:09	PTEC	Sell	OTC	300	300	0:00:01
94	1362373	-0.67¢	Limit	no	no	NBBO at order entry	\$33.3700	\$33.3633	15:35:14	PEIX	SH	OTC	1,000	1,000	0:00:01
95	1236286	-0.71¢	Market	no	no	NBBO at order entry	\$20.7800	\$20.7729	15:57:11	PLLL	Sell	OTC	1,700	1,700	0:00:03
96	1350655	-1.00¢	Market	no	no	NBBO at order entry	\$58.7300	\$58.7200	11:17:40	JNJ	Sell	Listed	29	29	0:00:07
97	1366079	-1.90¢	Market	no	no	NBBO at order entry	\$91.0900	\$91.1090	13:24:22	AMG	Buy	Listed	1,000	1,000	0:00:13
98	1272507	-2.00¢	Market	no	no	NBBO at order entry	\$75.4300	\$75.4500	14:27:16	MGA	Buy	Listed	21	21	0:00:13
99	1505524	-2.59¢	Limit	no	no	NBBO at order entry	\$18.7100	\$18.7359	9:55:26	BIG	Buy	Listed	25,000	25,000	0:37:24
100	1429556	-3.60¢	Limit	no	no	NBBO at order entry	\$45.2300	\$45.1940	13:43:20	MSM	SH	Listed	5,000	5,000	0:08:53

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