

## Sample Transaction Cost Analysis (Report Format #1)

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

Benchmark: Open price for orders entered pre-open, close price for MOC orders, consolidated TWAP for VWAP strategy orders.  
 For all other orders, benchmark is NBBO (ask for buys and bid for sells) at order entry if spread > 0. Exceptions: If spread not > 0, bid or ask is missing, or the ask price is greater than 2x the bid, then consolidated TWAP is used. Positive 'Price Improvement' means better than benchmark.

Obs	Sample 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	1506026	-11.60¢	Limit	no	no	NBBO at order entry	\$20.4000	\$20.5160	13:43:11	AFFX	Buy	OTC	44,500	44,500	0:55:51
2	1477309	-6.00¢	Limit	no	no	NBBO at order entry	\$16.7700	\$16.8300	13:41:47	RBAK	Buy	OTC	200	200	0:01:30
3	1358349	-4.79¢	Limit	no	no	NBBO at order entry	\$14.2500	\$14.2979	11:05:33	CVNS	Buy	OTC	10,000	10,000	0:24:37
4	1499528	-3.60¢	Market	no	no	NBBO at order entry	\$33.6000	\$33.5640	10:18:48	FII	Sell	Listed	1,000	1,000	0:00:10
5	1223430	-2.99¢	Market	no	no	NBBO at order entry	\$54.2100	\$54.2399	15:52:46	ENER	Buy	OTC	600	600	0:00:02
6	1394707	-2.00¢	Market	no	no	NBBO at order entry	\$80.9600	\$80.9400	11:58:19	MMM	Sell	Listed	75	75	0:00:24
7	1501028	-1.55¢	Limit	no	no	NBBO at order entry	\$76.6800	\$76.6645	10:32:51	IYT	Sell	Listed	10,000	10,000	0:00:19
8	1482016	-1.00¢	Market	no	no	NBBO at order entry	\$82.4000	\$82.3900	13:22:41	EMR	Sell	Listed	30	30	0:00:20
9	1499557	-1.00¢	Market	no	no	NBBO at order entry	\$42.0100	\$42.0200	10:56:02	NSC	Buy	Listed	175	175	0:00:09
10	1368593	-1.00¢	Market	no	no	NBBO at order entry	\$15.0600	\$15.0700	14:19:13	IT	Buy	Listed	300	300	0:00:04
11	1247097	-0.85¢	Market	no	no	NBBO at order entry	\$9.2900	\$9.2985	15:23:28	KEM	Buy	Listed	10,764	10,764	0:00:25
12	1294303	-0.75¢	Market	no	no	NBBO at order entry	\$9.9800	\$9.9725	15:52:15	IFO	Sell	Listed	400	400	0:00:28
13	1436491	-0.45¢	Market	no	yes	Consolidated TWAP	\$20.9555	\$20.9600	14:01:17	LNCE	Buy	OTC	60	60	0:34:53
14	1386412	-0.37¢	Limit	no	no	NBBO at order entry	\$26.3800	\$26.3763	15:31:44	BMHC	SH	OTC	1,000	1,000	0:00:41
15	1371739	-0.18¢	Market	no	no	NBBO at order entry	\$26.1300	\$26.1318	15:57:32	ILMN	Buy	OTC	1,100	1,100	0:00:10
16	1371076	-0.07¢	Market	no	no	NBBO at order entry	\$17.7900	\$17.7907	12:37:36	GLBL	Buy	OTC	1,400	1,400	0:00:04
17	1223874	0.00¢	Limit	no	no	NBBO at order entry	\$42.9800	\$42.9800	11:24:04	DOV	Sell	Listed	200	200	0:00:03

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18	1199928	0.00¢	Limit	no	no	NBBO at order entry	\$25.9000	\$25.9000	12:12:36	GB	Buy	Listed	100	100	0:00:03
19	1212625	0.00¢	Limit	no	no	NBBO at order entry	\$70.1900	\$70.1900	15:36:46	NUE	Sell	Listed	70	70	0:00:07
20	1203984	0.00¢	Limit	no	no	NBBO at order entry	\$37.5400	\$37.5400	14:13:12	USNA	Sell	OTC	146	146	0:00:00
21	1301205	0.00¢	Limit	no	no	NBBO at order entry	\$24.7500	\$24.7500	15:21:04	ATHR	Sell	OTC	300	300	0:00:00
22	1346247	0.00¢	Limit	no	no	NBBO at order entry	\$37.4500	\$37.4500	13:42:16	PEIX	Buy	OTC	500	500	0:00:01
23	1450102	0.00¢	Limit	no	no	NBBO at order entry	\$6.6000	\$6.6000	11:01:06	PKD	Sell	Listed	100	100	0:00:04
24	1489367	0.00¢	Limit	no	no	NBBO at order entry	\$9.1100	\$9.1100	11:21:22	GBE	Sell	Listed	2,000	2,000	0:00:33
25	1473725	0.00¢	Limit	no	no	NBBO at order entry	\$4.3900	\$4.3900	13:07:34	SONS	Buy	OTC	5,000	5,000	0:00:01
26	1466681	0.00¢	Limit	no	no	NBBO at order entry	\$41.7900	\$41.7900	14:45:45	WRLD	Buy	OTC	10,000	100	0:00:00
27	1509016	0.00¢	Limit	no	no	NBBO at order entry	\$17.3200	\$17.3200	11:52:34	AMAT	Sell	OTC	5,000	5,000	0:00:01
28	1215550	0.00¢	Market	no	no	NBBO at order entry	\$16.9000	\$16.9000	11:06:10	CD	Sell	Listed	155	155	0:00:08
29	1234358	0.00¢	Market	no	no	NBBO at order entry	\$21.3600	\$21.3600	15:00:05	INTC	Sell	OTC	75	75	0:00:00
30	1219149	0.00¢	Market	no	no	NBBO at order entry	\$38.8800	\$38.8800	13:41:52	VLCM	Sell	OTC	100	100	0:00:00
31	1272220	0.00¢	Market	no	no	NBBO at order entry	\$15.9700	\$15.9700	12:22:44	BRKS	Buy	OTC	451	451	0:00:02
32	1334085	0.00¢	Market	no	no	Day Open	\$106.5000	\$106.5000	8:48:08	ACL	Sell	Listed	50	50	0:52:15
33	1311439	0.00¢	Market	no	no	NBBO at order entry	\$22.6400	\$22.6400	14:52:01	CBST	Sell	OTC	15	15	0:00:01
34	1320760	0.00¢	Market	no	no	NBBO at order entry	\$33.7100	\$33.7100	14:25:09	MKC	Buy	Listed	100	100	0:00:00

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35	1323652	0.00¢	Market	no	no	NBBO at order entry	\$27.0200	\$27.0200	10:21:06	MSFT	Sell	OTC	130	130	0:00:00
36	1357015	0.00¢	Market	no	no	NBBO at order entry	\$13.0400	\$13.0400	11:57:04	EMC	Sell	Listed	300	300	0:00:00
37	1364376	0.00¢	Market	no	no	NBBO at order entry	\$23.9200	\$23.9200	14:46:52	PFE	Sell	Listed	204	204	0:00:00
38	1411826	0.00¢	Market	no	no	NBBO at order entry	\$71.6800	\$71.6800	11:55:50	CAT	Buy	Listed	50	50	0:00:06
39	1417088	0.00¢	Market	no	no	NBBO at order entry	\$48.1000	\$48.1000	11:49:11	WMT	Buy	Listed	50	50	0:00:07
40	1423061	0.00¢	Market	no	no	NBBO at order entry	\$36.0200	\$36.0200	15:46:19	BFAM	Buy	OTC	140	140	0:00:01
41	1449743	0.00¢	Market	no	no	NBBO at order entry	\$32.4000	\$32.4000	15:45:56	CMCSA	Sell	OTC	15	15	0:00:00
42	1453513	0.00¢	Market	no	no	NBBO at order entry	\$62.6200	\$62.6200	14:43:18	PEP	Sell	Listed	275	275	0:00:08
43	1497255	0.00¢	Market	no	no	NBBO at order entry	\$57.4500	\$57.4500	15:46:38	ATI	Buy	Listed	16	16	0:00:16
44	1492305	0.00¢	Market	no	no	NBBO at order entry	\$22.3200	\$22.3200	11:41:04	NSANY	Sell	OTC	7	7	0:00:00
45	1465543	0.00¢	Market	no	no	NBBO at order entry	\$6.0000	\$6.0000	15:47:15	THC	Buy	Listed	249	249	0:00:18
46	1509648	0.00¢	Market	no	no	NBBO at order entry	\$60.4600	\$60.4600	15:42:37	PG	Sell	Listed	108	108	0:00:03
47	1209996	0.00¢	Market	no	no	NBBO at order entry	\$25.4900	\$25.4900	15:15:00	C/PV	Buy	Listed	100	100	0:00:15
48	1256124	0.00¢	Market	no	no	NBBO at order entry	\$16.1600	\$16.1600	12:29:20	DT	Sell	Listed	200	200	0:00:00
49	1313488	0.00¢	Market	no	no	NBBO at order entry	\$23.4200	\$23.4200	15:05:51	IHC	Sell	Listed	100	100	0:00:00
50	1311752	0.00¢	Market	no	no	NBBO at order entry	\$71.1100	\$71.1100	15:49:57	PCAR	Buy	OTC	200	200	0:00:01
51	1368887	0.00¢	Market	no	no	NBBO at order entry	\$10.7900	\$10.7900	14:50:31	CPD	Sell	Listed	100	100	0:00:00

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52	1346157	0.00¢	Market	no	no	NBBO at order entry	\$26.2500	\$26.2500	12:17:17	STX	Sell	Listed	388	388	0:00:31
53	1402414	0.00¢	Market	no	no	NBBO at order entry	\$39.0700	\$39.0700	11:42:58	AET	Buy	Listed	30	30	0:00:00
54	1398463	0.00¢	Market	no	no	NBBO at order entry	\$30.9800	\$30.9800	11:37:58	FII	Sell	Listed	54	54	0:00:07
55	1398674	0.00¢	Market	no	no	NBBO at order entry	\$56.9400	\$56.9400	12:59:33	FRE	Sell	Listed	500	500	0:00:12
56	1415660	0.00¢	Market	no	no	NBBO at order entry	\$53.7500	\$53.7500	12:48:38	GSF	Buy	Listed	500	500	0:00:00
57	1381544	0.00¢	Market	no	no	NBBO at order entry	\$45.8200	\$45.8200	15:04:16	SEIC	Sell	OTC	300	300	0:00:01
58	1451570	0.00¢	Market	no	no	NBBO at order entry	\$26.0900	\$26.0900	12:09:01	MEDI	Buy	OTC	792	792	0:00:01
59	1459023	0.00¢	Market	no	no	NBBO at order entry	\$4.8000	\$4.8000	15:53:26	NABI	Buy	OTC	200	200	0:00:01
60	1436869	0.00¢	Market	yes	no	Day Close	\$46.0100	\$46.0100	15:17:20	SJM	Buy	Listed	140	140	0:45:49
61	1430488	0.00¢	Market	no	no	Consolidated TWAP	\$29.4100	\$29.4100	18:02:15	TIE	Sell	Listed	100	100	0:00:00
62	1449297	0.00¢	Market	no	no	NBBO at order entry	\$46.7900	\$46.7900	13:40:35	WAG	Sell	Listed	150	150	0:00:00
63	1477401	0.00¢	Market	no	no	NBBO at order entry	\$23.2400	\$23.2400	13:54:11	EDS	Buy	Listed	70	70	0:00:00
64	1481059	0.00¢	Market	no	no	Consolidated TWAP	\$0.0220	\$0.0220	15:57:35	PGRA	Sell	OTC	100	100	0:00:22
65	1498730	0.00¢	Market	yes	no	Day Close	\$60.5400	\$60.5400	15:14:43	EXC	Sell	Listed	1,400	1,400	0:45:45
66	1501422	0.00¢	Market	no	no	NBBO at order entry	\$31.1500	\$31.1500	12:32:35	GM	Sell	Listed	174	174	0:00:00
67	1265630	0.01¢	Market	no	no	NBBO at order entry	\$25.3500	\$25.3501	15:44:21	ECLP	Sell	OTC	1,000	1,000	0:00:02
68	1407916	0.20¢	Market	no	no	NBBO at order entry	\$41.8100	\$41.8120	10:29:54	KOMG	Sell	OTC	500	500	0:00:03

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69	1512262	0.20¢	Limit	no	no	NBBO at order entry	\$31.0500	\$31.0520	12:25:58	BMRC	Sell	OTC	500	500	0:03:33
70	1498660	1.00¢	Market	no	no	NBBO at order entry	\$75.8700	\$75.8800	14:57:17	BA	Sell	Listed	50	50	0:00:09
71	1467628	1.00¢	Market	no	no	NBBO at order entry	\$75.9100	\$75.9000	10:52:21	IBM	Buy	Listed	100	100	0:00:04
72	1275163	1.00¢	Limit	no	no	NBBO at order entry	\$20.0100	\$20.0200	9:41:57	INTC	SH	OTC	5,000	5,000	0:00:37
73	1206779	1.00¢	Limit	no	no	NBBO at order entry	\$30.5500	\$30.5600	15:52:12	HPQ	Sell	Listed	45	45	0:00:04
74	1389369	1.00¢	Market	no	no	NBBO at order entry	\$41.0100	\$41.0000	11:19:49	TRI	Buy	Listed	100	100	0:00:10
75	1451439	1.00¢	Market	no	no	NBBO at order entry	\$42.1400	\$42.1300	11:48:03	BBT	Buy	Listed	70	70	0:00:07
76	1275787	1.00¢	Market	no	no	NBBO at order entry	\$54.2200	\$54.2100	14:01:12	AXP	Buy	Listed	20	20	0:00:00
77	1305473	1.00¢	Limit	no	no	NBBO at order entry	\$11.8300	\$11.8400	13:26:17	NUAN	Sell	OTC	200	200	0:00:25
78	1349968	1.00¢	Limit	no	no	NBBO at order entry	\$14.6100	\$14.6200	15:18:02	CHRS	Sell	OTC	300	300	0:00:29
79	1340992	1.00¢	Limit	no	no	NBBO at order entry	\$6.9700	\$6.9800	15:52:54	CDE	Sell	Listed	300	300	0:00:17
80	1309930	1.00¢	Limit	no	no	NBBO at order entry	\$11.5500	\$11.5400	15:24:45	PKTR	Buy	OTC	80	80	0:00:41
81	1305214	1.00¢	Market	no	no	NBBO at order entry	\$23.3300	\$23.3400	15:28:50	HTV	Sell	Listed	614	614	0:01:59
82	1395498	1.00¢	Limit	no	no	NBBO at order entry	\$30.5300	\$30.5200	15:57:16	BELFB	Buy	OTC	132	132	0:00:53
83	1296724	1.00¢	Market	no	no	NBBO at order entry	\$64.8900	\$64.8800	15:29:50	WFC	Buy	Listed	35	35	0:00:17
84	1426349	1.00¢	Market	no	no	NBBO at order entry	\$75.7000	\$75.6900	14:52:55	HYDL	Buy	OTC	100	100	0:00:00

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85	1468628	2.00¢	Limit	no	no	NBBO at order entry	\$24.4700	\$24.4900	13:58:17	ISSX	Sell	OTC	200	200	0:00:10
86	1519920	2.00¢	Limit	no	no	NBBO at order entry	\$24.5800	\$24.6000	10:32:22	MVL	Sell	Listed	2,200	2,200	0:00:00
87	1361409	2.00¢	Market	no	no	NBBO at order entry	\$37.5500	\$37.5700	10:20:31	BAX	Sell	Listed	14	14	0:00:06
88	1419479	3.00¢	Limit	no	no	NBBO at order entry	\$25.4900	\$25.4600	9:44:47	IVC	Buy	Listed	100	100	0:00:55
89	1444888	3.00¢	Limit	no	no	NBBO at order entry	\$8.6700	\$8.6400	11:05:31	MPX	Buy	Listed	100	100	0:00:58
90	1498356	3.00¢	Market	no	no	NBBO at order entry	\$48.3100	\$48.2800	12:45:08	MON	Buy	Listed	20	20	0:00:18
91	1457234	4.00¢	Limit	no	no	NBBO at order entry	\$19.5600	\$19.5200	11:31:21	EBF	Buy	Listed	300	300	0:00:09
92	1513452	4.00¢	Limit	no	no	NBBO at order entry	\$25.6300	\$25.5900	15:50:54	MGRC	Buy	OTC	500	300	0:00:29
93	1237705	4.00¢	Market	no	no	NBBO at order entry	\$44.2600	\$44.3000	12:51:30	KMR	SH	Listed	100	100	0:03:26
94	1394195	6.00¢	Limit	no	no	NBBO at order entry	\$37.9100	\$37.8500	9:40:12	MNST	Buy	OTC	436	436	0:00:20
95	1479368	6.00¢	Limit	no	no	NBBO at order entry	\$30.8100	\$30.7500	9:47:39	PWEI	Buy	OTC	195	195	0:03:46
96	1254999	7.00¢	Limit	no	no	NBBO at order entry	\$35.9300	\$35.8600	10:45:03	MMS	Buy	Listed	200	200	0:00:03
97	1452401	7.00¢	Limit	no	no	NBBO at order entry	\$36.5600	\$36.6300	13:03:49	RS	Sell	Listed	100	100	0:00:30
98	1363625	8.00¢	Limit	no	no	NBBO at order entry	\$3.4200	\$3.3400	10:28:47	TISA	Buy	OTC	1,000	838	1:15:57
99	1216541	12.00¢	Limit	no	no	NBBO at order entry	\$50.1800	\$50.3000	15:54:56	DNEX	Sell	OTC	57	57	0:00:50
100	1215324	26.81¢	Limit	no	no	NBBO at order entry	\$12.2000	\$11.9319	9:46:16	EVST	Buy	OTC	3,200	3,200	1:30:07

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