

**Note: Broker-dealers are required to disclose any material arrangements with the venues listed in each section below, including, but not limited to, any internalization or payment for order flow arrangements.**

## OS3

**GW & WADE ASSET MANAGEMENT CO.  
93 WORCESTER STREET, 4TH FLOOR  
WELLESLEY, MA 02481**

### SEC Rule 606 Quarterly Report for the Quarter Ending June 30, 2019

#### Securities Listed on New York Stock Exchange

##### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	85.57%
Limit orders as percentage of total non-directed orders	10.29%
Other orders as percentage of total non-directed orders	4.14%

##### Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	56.46%
2. VIRTU Americas LLC	16.94%
3. G1 Execution Services, LLC	14.05%
4. Cboe EDGX U.S. Equities Exchange	5.02%
5. Two Sigma Securities, LLC	4.64%
6. UBS Securities, LLC	1.63%
7. NASDAQ Execution Services, LLC	0.63%
8. New York Stock Exchange	0.38%
9. Cboe BZX U.S. Equities Exchange	0.25%

##### Information Concerning Significant Venues :

###### 1. Citadel Securities LLC

###### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	60.41%
Limit orders as percentage of total non-directed orders	24.39%
Other orders as percentage of total non-directed orders	54.55%

###### 2. VIRTU Americas LLC

###### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	16.86%
Limit orders as percentage of total non-directed orders	6.10%
Other orders as percentage of total non-directed orders	45.45%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	15.69%
Limit orders as percentage of total non-directed orders	6.10%
Other orders as percentage of total non-directed orders	0.00%

4. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	48.78%
Other orders as percentage of total non-directed orders	0.00%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	5.13%
Limit orders as percentage of total non-directed orders	2.44%
Other orders as percentage of total non-directed orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	1.91%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

7. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.10%
Other orders as percentage of total non-directed orders	0.00%

8. New York Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	3.66%
Other orders as percentage of total non-directed orders	0.00%

9. Cboe BZX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	2.44%
Other orders as percentage of total non-directed orders	0.00%

## Securities Listed on The Nasdaq Stock Market

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	69.55%
Limit orders as percentage of total non-directed orders	25.48%
Other orders as percentage of total non-directed orders	4.98%

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	56.66%
2. VIRTU Americas LLC	15.81%
3. G1 Execution Services, LLC	14.20%
4. Cboe EDGX U.S. Equities Exchange	6.00%
5. Two Sigma Securities, LLC	2.93%
6. UBS Securities, LLC	2.49%
7. NASDAQ Execution Services, LLC	1.76%
8. Cboe BZX U.S. Equities Exchange	0.15%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	61.68%
Limit orders as percentage of total non-directed orders	39.66%
Other orders as percentage of total non-directed orders	73.53%

#### 2. VIRTU Americas LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	17.05%
Limit orders as percentage of total non-directed orders	10.92%
Other orders as percentage of total non-directed orders	23.53%

#### 3. G1 Execution Services, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	14.53%
Limit orders as percentage of total non-directed orders	16.09%
Other orders as percentage of total non-directed orders	0.00%

#### 4. Cboe EDGX U.S. Equities Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	23.56%
Other orders as percentage of total non-directed orders	0.00%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	3.79%
Limit orders as percentage of total non-directed orders	1.15%
Other orders as percentage of total non-directed orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.95%
Limit orders as percentage of total non-directed orders	1.15%
Other orders as percentage of total non-directed orders	2.94%

7. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	6.90%
Other orders as percentage of total non-directed orders	0.00%

8. Cboe BZX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	0.57%
Other orders as percentage of total non-directed orders	0.00%

## Securities Listed on NYSE American or Regional Exchanges

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	72.59%
Limit orders as percentage of total non-directed orders	15.78%
Other orders as percentage of total non-directed orders	11.63%

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	58.80%
2. VIRTU Americas LLC	21.59%
3. G1 Execution Services, LLC	11.96%
4. Two Sigma Securities, LLC	2.82%
5. NASDAQ Execution Services, LLC	1.83%
6. UBS Securities, LLC	1.66%
7. Cboe EDGX U.S. Equities Exchange	1.16%
8. NYSE Arca	0.17%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	62.01%
Limit orders as percentage of total non-directed orders	53.68%
Other orders as percentage of total non-directed orders	45.71%

#### 2. VIRTU Americas LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	18.31%
Limit orders as percentage of total non-directed orders	12.63%
Other orders as percentage of total non-directed orders	54.29%

#### 3. G1 Execution Services, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	13.96%
Limit orders as percentage of total non-directed orders	11.58%
Other orders as percentage of total non-directed orders	0.00%

#### 4. Two Sigma Securities, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	3.43%
Limit orders as percentage of total non-directed orders	2.11%
Other orders as percentage of total non-directed orders	0.00%

5. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	11.58%
Other orders as percentage of total non-directed orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	2.29%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

7. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	7.37%
Other orders as percentage of total non-directed orders	0.00%

8. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	1.05%
Other orders as percentage of total non-directed orders	0.00%

## Exchange - Listed Options

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total non-directed orders	36.36%
Limit orders as percentage of total non-directed orders	63.64%
Other orders as percentage of total non-directed orders	0.00%

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Cboe Options Exchange	45.45%
2. NYSE American Options	9.09%
3. NYSE Arca Options	9.09%
4. BOX Option Exchange	9.09%
5. ISE Mercury Exchange	9.09%
6. NASDAQ Options Market	9.09%
7. NASDAQ PHLX Options	9.09%

### Information Concerning Significant Venues :

#### 1. Cboe Options Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	50.00%
Limit orders as percentage of total non-directed orders	42.86%
Other orders as percentage of total non-directed orders	0.00%

#### 2. NYSE American Options

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	25.00%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

#### 3. NYSE Arca Options

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	14.29%
Other orders as percentage of total non-directed orders	0.00%

#### 4. BOX Option Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	14.29%
Other orders as percentage of total non-directed orders	0.00%

5. ISE Mercury Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	25.00%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

6. NASDAQ Options Market

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	14.29%
Other orders as percentage of total non-directed orders	0.00%

7. NASDAQ PHLX Options

Types of Orders Routed to Venue :

Market orders as percentage of total non-directed orders	0.00%
Limit orders as percentage of total non-directed orders	14.29%
Other orders as percentage of total non-directed orders	0.00%