

**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, 2018

#### 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 market orders	83.38%
Limit orders as percentage of total limit orders	14.75%
Other orders as percentage of total other orders	1.88%

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

1. VIRTU Americas LLC	43.97%
2. Citadel Securities LLC	39.28%
3. Two Sigma Securities, LLC	4.56%
4. G1 Execution Services, LLC	4.29%
5. Cboe BYX U.S. Equities Exchange	3.08%
6. Cboe EDGX U.S. Equities Exchange	1.34%
7. Instinet LLC	1.21%
8. New York Stock Exchange	1.07%
9. NASDAQ Execution Services, LLC	0.80%
10. UBS Securities, LLC	0.27%

##### Information Concerning Significant Venues :

###### 1. VIRTU Americas LLC

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

Market orders as percentage of total market orders	45.66%
Limit orders as percentage of total limit orders	33.64%
Other orders as percentage of total other orders	50.00%

###### 2. Citadel Securities LLC

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

Market orders as percentage of total market orders	39.87%
Limit orders as percentage of total limit orders	34.55%
Other orders as percentage of total other orders	50.00%

3. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.98%
Limit orders as percentage of total limit orders	2.73%
Other orders as percentage of total other orders	0.00%

4. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.34%
Limit orders as percentage of total limit orders	4.55%
Other orders as percentage of total other orders	0.00%

5. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.70%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	0.00%

7. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.13%
Limit orders as percentage of total limit orders	1.82%
Other orders as percentage of total other orders	0.00%

8. New York Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	7.27%
Other orders as percentage of total other orders	0.00%

9. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	5.45%
Other orders as percentage of total other orders	0.00%

10. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.32%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other 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 market orders	81.16%
Limit orders as percentage of total limit orders	15.63%
Other orders as percentage of total other orders	3.21%

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

1. Citadel Securities LLC	41.08%
2. VIRTU Americas LLC	40.88%
3. Two Sigma Securities, LLC	4.41%
4. G1 Execution Services, LLC	4.21%
5. NASDAQ Execution Services, LLC	2.61%
6. Cboe EDGX U.S. Equities Exchange	2.00%
7. UBS Securities, LLC	1.60%
8. Cboe BYX U.S. Equities Exchange	1.60%
9. Instinet LLC	1.20%
10. BNY Mellon Capital Markets LLC	0.20%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	41.23%
Limit orders as percentage of total limit orders	32.05%
Other orders as percentage of total other orders	81.25%

#### 2. VIRTU Americas LLC

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

Market orders as percentage of total market orders	44.69%
Limit orders as percentage of total limit orders	28.21%
Other orders as percentage of total other orders	6.25%

#### 3. Two Sigma Securities, LLC

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

Market orders as percentage of total market orders	4.69%
Limit orders as percentage of total limit orders	3.85%
Other orders as percentage of total other orders	0.00%

#### 4. G1 Execution Services, LLC

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

Market orders as percentage of total market orders	4.44%
Limit orders as percentage of total limit orders	3.85%
Other orders as percentage of total other orders	0.00%

5. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	16.67%
Other orders as percentage of total other orders	0.00%

6. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	12.82%
Other orders as percentage of total other orders	0.00%

7. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.23%
Limit orders as percentage of total limit orders	1.28%
Other orders as percentage of total other orders	12.50%

8. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.98%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.23%
Limit orders as percentage of total limit orders	1.28%
Other orders as percentage of total other orders	0.00%

10. BNY Mellon Capital Markets LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.25%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other 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 market orders	85.85%
Limit orders as percentage of total limit orders	7.89%
Other orders as percentage of total other orders	6.26%

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

1. VIRTU Americas LLC	42.00%
2. Citadel Securities LLC	40.14%
3. Two Sigma Securities, LLC	5.10%
4. Cboe BYX U.S. Equities Exchange	4.87%
5. G1 Execution Services, LLC	3.94%
6. Instinet LLC	1.39%
7. Cboe EDGX U.S. Equities Exchange	1.16%
8. UBS Securities, LLC	0.46%
9. Other	0.46%
10. BNY Mellon Capital Markets LLC	0.23%

### Information Concerning Significant Venues :

#### 1. VIRTU Americas LLC

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

Market orders as percentage of total market orders	42.70%
Limit orders as percentage of total limit orders	38.24%
Other orders as percentage of total other orders	37.04%

#### 2. Citadel Securities LLC

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

Market orders as percentage of total market orders	39.46%
Limit orders as percentage of total limit orders	29.41%
Other orders as percentage of total other orders	62.96%

#### 3. Two Sigma Securities, LLC

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

Market orders as percentage of total market orders	4.86%
Limit orders as percentage of total limit orders	11.76%
Other orders as percentage of total other orders	0.00%

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

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

Market orders as percentage of total market orders	5.68%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

5. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.59%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.35%
Limit orders as percentage of total limit orders	2.94%
Other orders as percentage of total other orders	0.00%

7. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	14.71%
Other orders as percentage of total other orders	0.00%

8. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.54%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Other

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.54%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. BNY Mellon Capital Markets LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.27%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other 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 market orders	0.00%
Limit orders as percentage of total limit orders	100.00%
Other orders as percentage of total other orders	0.00%

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

1. NYSE Arca Options	50.00%
2. NASDAQ PHLX Options	50.00%

### Information Concerning Significant Venues :

#### 1. NYSE Arca Options

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

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	50.00%
Other orders as percentage of total other orders	0.00%

#### 2. NASDAQ PHLX Options

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

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	50.00%
Other orders as percentage of total other orders	0.00%