

**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 December 31, 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	86.78%
Limit orders as percentage of total limit orders	8.81%
Other orders as percentage of total other orders	4.41%

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

1. Citadel Securities LLC	50.53%
2. VIRTU Americas LLC	20.26%
3. G1 Execution Services, LLC	19.07%
4. Two Sigma Securities, LLC	6.04%
5. New York Stock Exchange	1.20%
6. Cboe EDGX U.S. Equities Exchange	1.01%
7. NASDAQ Execution Services, LLC	1.01%
8. UBS Securities, LLC	0.69%
9. Cboe BZX U.S. Equities Exchange	0.13%
10.	0.06%

##### Information Concerning Significant Venues :

###### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	53.23%
Limit orders as percentage of total limit orders	32.14%
Other orders as percentage of total other orders	34.29%

###### 2. VIRTU Americas LLC

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

Market orders as percentage of total market orders	18.56%
Limit orders as percentage of total limit orders	14.29%
Other orders as percentage of total other orders	65.71%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	20.67%
Limit orders as percentage of total limit orders	12.86%
Other orders as percentage of total other orders	0.00%

4. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	6.67%
Limit orders as percentage of total limit orders	2.86%
Other orders as percentage of total other orders	0.00%

5. 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	13.57%
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	11.43%
Other orders as percentage of total other orders	0.00%

7. 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	11.43%
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	0.80%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Cboe BZX 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	1.43%
Other orders as percentage of total other orders	0.00%

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Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.07%
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	72.88%
Limit orders as percentage of total limit orders	16.89%
Other orders as percentage of total other orders	10.24%

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

1. Citadel Securities LLC	53.22%
2. VIRTU Americas LLC	19.34%
3. G1 Execution Services, LLC	15.66%
4. Two Sigma Securities, LLC	7.06%
5. NASDAQ Execution Services, LLC	2.66%
6. Cboe EDGX U.S. Equities Exchange	1.23%
7. UBS Securities, LLC	0.72%
8. Cboe BZX U.S. Equities Exchange	0.10%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	56.32%
Limit orders as percentage of total limit orders	46.67%
Other orders as percentage of total other orders	42.00%

#### 2. VIRTU Americas LLC

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

Market orders as percentage of total market orders	14.89%
Limit orders as percentage of total limit orders	15.15%
Other orders as percentage of total other orders	58.00%

#### 3. G1 Execution Services, LLC

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

Market orders as percentage of total market orders	19.38%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	0.00%

#### 4. Two Sigma Securities, LLC

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

Market orders as percentage of total market orders	8.57%
Limit orders as percentage of total limit orders	4.85%
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	15.76%
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	7.27%
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	0.84%
Limit orders as percentage of total limit orders	0.61%
Other orders as percentage of total other orders	0.00%

8. Cboe BZX 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	0.61%
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	57.45%
Limit orders as percentage of total limit orders	22.20%
Other orders as percentage of total other orders	20.35%

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

1. Citadel Securities LLC	53.16%
2. VIRTU Americas LLC	20.55%
3. G1 Execution Services, LLC	15.68%
4. Two Sigma Securities, LLC	5.06%
5. Cboe EDGX U.S. Equities Exchange	3.51%
6. NASDAQ Execution Services, LLC	1.17%
7. UBS Securities, LLC	0.49%
8. Cboe BZX U.S. Equities Exchange	0.29%
9. NYSE Arca	0.10%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	53.05%
Limit orders as percentage of total limit orders	44.30%
Other orders as percentage of total other orders	63.16%

#### 2. VIRTU Americas LLC

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

Market orders as percentage of total market orders	18.81%
Limit orders as percentage of total limit orders	10.09%
Other orders as percentage of total other orders	36.84%

#### 3. G1 Execution Services, LLC

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

Market orders as percentage of total market orders	20.17%
Limit orders as percentage of total limit orders	18.42%
Other orders as percentage of total other orders	0.00%

#### 4. Two Sigma Securities, LLC

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

Market orders as percentage of total market orders	7.80%
Limit orders as percentage of total limit orders	2.63%
Other orders as percentage of total other orders	0.00%

5. 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	15.79%
Other orders as percentage of total other orders	0.00%

6. 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	5.26%
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	0.17%
Limit orders as percentage of total limit orders	1.75%
Other orders as percentage of total other orders	0.00%

8. Cboe BZX 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	1.32%
Other orders as percentage of total other orders	0.00%

9. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	0.44%
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	62.50%
Limit orders as percentage of total limit orders	37.50%
Other orders as percentage of total other orders	0.00%

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

1. Cboe Options Exchange	50.00%
2. BOX Option Exchange	25.00%
3. ISE Gemini Options Exchange	12.50%
4. NASDAQ PHLX Options	12.50%

### Information Concerning Significant Venues :

#### 1. Cboe Options Exchange

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

Market orders as percentage of total market orders	60.00%
Limit orders as percentage of total limit orders	33.33%
Other orders as percentage of total other orders	0.00%

#### 2. BOX Option Exchange

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

Market orders as percentage of total market orders	20.00%
Limit orders as percentage of total limit orders	33.33%
Other orders as percentage of total other orders	0.00%

#### 3. ISE Gemini Options 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	33.33%
Other orders as percentage of total other orders	0.00%

#### 4. NASDAQ PHLX Options

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

Market orders as percentage of total market orders	20.00%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%