Exhibit 38

Document Provided in Native Format

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
MARGIN REQUIREMENTS						
Initial margin requirement set to 50% and maintenance margin requirement set to 25%	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-25 4:05:52	2021-01-25 8:04:50	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 56% and maintenance margin requirement set to 45%	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-25 8:04:50	2021-01-25 8:05:24	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 50%.	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-25 8:05:24	2021-01-26 4:54:03	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 68% and maintenance margin requirement set to 60%	EXPR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-26 4:07:36	2021-01-26 5:05:48	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 68% and maintenance margin requirement set to 60%	TR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-26 4:07:46	2021-01-28 8:56:41	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 68% and maintenance margin requirement set to 60%	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-26 4:54:03	2021-01-26 4:54:39	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 84% and maintenance margin requirement set to 80%	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-26 4:54:39	2021-01-26 5:05:01	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 80%	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-26 5:05:01	2021-01-27 5:06:54	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	EXPR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-26 5:05:48	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-27 5:06:54	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	DDS	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:13:43	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	LGND	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:14:05	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	BBBY	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:15:00	2021-01-29 9:03:35	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	FIZZ	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:15:24	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	AMCX	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:18:17	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	MAC	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:19:30	2021-04-14 4:11:20	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	SPWR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:22:22	2021-02-09 6:41:58	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	SKT	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:23:00	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	AXDX	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:23:00	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 100%	BB	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:28:27	2021-01-28 8:33:09	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 72% and maintenance margin requirement set to 65%	BB	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:33:09	2021-01-29 9:02:25	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
Initial margin requirement set to 100%	TR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:56:41	2021-01-29 9:05:02	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 50% and maintenance margin requirement set to 25%	NOK	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 6:40:15	2021-01-29 6:47:46	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 68% and maintenance margin requirement set to 60%	TRVG	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 6:40:20	2021-01-29 6:47:51	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial margin requirement set to 60% and maintenance margin requirement set to 50%	NOK	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 6:47:46	2021-01-29 7:15:55	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	TRVG	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 6:47:51	2021-02-26 4:06:45	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	NOK	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 7:15:55	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	AAL	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 7:17:03	2021-05-25 8:54:48	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	BB	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 9:02:25	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	BBBY	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 9:03:35	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
Initial and maintenance margin requirement set to 100%	TR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-29 9:05:02	Requirement Ongoing	Jim Swartwout, President and Chief Operating Officer of RHS	RHS increased margin requirements for certain symbols for risk management purposes given extreme market volatility.
POSITION LIMITS (PRE-JANUARY 28, 2021 PCOS)						
Option Contract Position Limits						
Reduced position limits for options contracts from 5,000 to 3,000	GME	N/A	2021-01-26 16:52:21	2021-01-27 13:28:28	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Reduced position limits for options contracts from 5,000 to 1,000	AMC	N/A	2021-01-27 10:01:12	2021-01-27 15:47:44	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Reduced position limits for options contracts from 5,000 to 1,000	EXPR	N/A	2021-01-27 10:23:05	2021-01-28 20:58:09	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Reduced position limits for options contracts from 5,000 to 1,000	TR	N/A	2021-01-27 10:23:05	2021-01-28 20:58:09	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Reduced position limits for options contracts from 3,000 to 300	GME	N/A	2021-01-27 13:28:28	2021-01-27 15:47:44	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Reduced position limits for options contracts from 300 to 100	GME	N/A	2021-01-27 15:47:44	2021-01-28 20:58:09	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Reduced position limits for options contracts from from 1,000 to 100	AMC	N/A	2021-01-27 15:47:44	2021-01-28 20:58:09	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Implemented PCO restrictions for options contracts expiring on January 29, 2021	AMC	N/A	2021-01-27 20:56:24	2021-01-28 20:23:03	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	GME	N/A	2021-01-27 20:21:37	2021-01-28 20:20:18	Jim Swartwout, President and Chief Operating Officer of RHS	RHS reduced position limits for options contracts for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
Equity Position Limits						
Imposed $10,000 equity position limits for all customer accounts for the following:	AMC	Fractional - Not Applicable Drip - Not Applicable Recurring - Not Applicable	2021-01-28 1:32:23	2021-01-28 21:08:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed position limits on equities for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
	BB	Fractional - Not Applicable Drip - Not Applicable Recurring - Not Applicable	2021-01-28 1:32:23	2021-01-28 21:08:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed position limits on equities for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
	EXPR	Fractional - Not Applicable Drip - Not Applicable Recurring - Not Applicable	2021-01-28 1:32:23	2021-01-28 21:08:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed position limits on equities for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
	GME	Fractional - Not Applicable Drip - Not Applicable Recurring - Not Applicable	2021-01-28 1:32:23	2021-01-28 21:08:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed position limits on equities for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
	KOSS	Fractional - Not Applicable Drip - Not Applicable Recurring - Not Applicable	2021-01-28 1:32:23	2021-01-28 21:08:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed position limits on equities for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
	NOK	Fractional - Not Applicable Drip - Not Applicable Recurring - Not Applicable	2021-01-28 1:32:23	2021-01-28 21:08:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed position limits on equities for certain symbols for risk management purposes because those symbols were subject to extreme market volatility.
PCO RESTRICTIONS						
Equity PCO						
Implemented temporary PCO restrictions for equity symbols	AAL	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 10:06:23	2021-01-28 21:41:28	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	AMC	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:07:31	2021-01-28 21:41:40	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	BB	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:09:28	2021-01-28 21:41:42	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	BBBY	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:10:19	2021-01-28 21:41:27	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	CTRM (no option equivalent)	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:09:55	2021-01-28 21:41:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	EXPR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:10:51	2021-01-28 21:41:35	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	GME	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:03:34	2021-01-28 21:41:41	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	KOSS (no option equivalent)	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:11:09	2021-01-28 21:41:34	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	NAKD (no option equivalent)	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:10:02	2021-01-28 21:41:43	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	NOK	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:08:24	2021-01-28 21:41:41	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	SNDL	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 9:53:24	2021-01-28 21:41:30	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	TR	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 9:54:04	2021-01-28 21:41:29	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
	TRVG	Fractional - Applicable Drip - Applicable Recurring - Applicable	2021-01-28 8:09:23	2021-01-28 21:41:43	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on certain symbols to ensure that RHS would continue to meet National Securities Clearing Corporation's ("NSCC") deposit requirements. These symbols were the largest contributors to the NSCC "Value-at-Risk" or "VaR" charge and were viewed as presenting significant risk based on ongoing market conditions.
Option Contract PCO						
Implemented temporary PCO restrictions for options contracts	AAL	N/A	2021-01-28 10:07:04	2021-01-28 20:28:28	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	AMC	N/A	2021-01-28 8:36:01	2021-01-28 20:23:04	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	BB	N/A	2021-01-28 8:34:17	2021-01-28 20:29:22	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	BBBY	N/A	2021-01-28 8:35:16	2021-01-28 20:25:52	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	EXPR	N/A	2021-01-28 8:34:44	2021-01-28 20:01:14	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	GME	N/A	2021-01-28 8:35:55	2021-01-28 20:20:18	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	NOK	N/A	2021-01-28 8:33:35	2021-01-28 20:03:28	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	SNDL	N/A	2021-01-28 9:57:33	2021-01-28 20:18:08	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	TR	N/A	2021-01-28 9:57:36	2021-01-28 19:54:36	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
	TRVG	N/A	2021-01-28 10:09:33	2021-01-28 20:00:18	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed temporary PCO restrictions on options contracts for these symbols to ensure consistency of limitations, so that restrictions would apply to all transactions in these symbols, whether in equities or options contracts.
Restricted trading on options contracts expiring on January 29, 2021	GME (Options contracts with strike price of 310 and 320)	N/A	2021-01-27 21:01:00	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS restricted trading in GME options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts."
	GME (Options contracts with strike price between 580 and 650)	N/A	2021-01-28 22:06:00	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS restricted trading in GME options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts."
Implemented PCO restrictions for options contracts expiring on January 29, 2021	AAL	N/A	2021-01-28 20:28:55	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.
	AMC	N/A	2021-01-28 20:23:35	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.
	BB	N/A	2021-01-28 20:29:53	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	BBBY	N/A	2021-01-28 20:26:00	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.
	GME	N/A	2021-01-28 21:40:00	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.
	NOK	N/A	2021-01-28 20:04:00 - 20:14:26* *Time range to implement PCO restrictions across all expiring NOK option series.	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.
	SNDL	N/A	2021-01-28 20:22:20	Restriction expired at close of day on January 29.	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on options contracts expiring on January 29, 2021 to reduce customer risk associated with early sellouts of expiring options contracts.
Fractional Trading PCO						
Implemented PCO restrictions on fractional trading	AAL	Drip - Applicable Recurring - Applicable	2021-01-28 22:28:50	2021-01-30 22:37:01	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	AMC	Drip - Applicable Recurring - Applicable	2021-01-28 22:29:20	2021-02-03 7:53:42	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	BB	Drip - Applicable Recurring - Applicable	2021-01-28 22:29:41	2021-02-02 10:49:44	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	BBBY	Drip - Applicable Recurring - Applicable	2021-01-28 22:30:01	2021-01-30 22:27:34	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	CTRM	Drip - Applicable Recurring - Applicable	2021-01-28 22:30:22	2021-01-30 22:30:18	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	CTRM	Drip - Applicable Recurring - Applicable	2021-02-01 4:32:32	2021-02-10 4:28:50	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	EXPR	Drip - Applicable Recurring - Applicable	2021-01-28 22:31:02	2021-02-02 20:14:55	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	GME	Drip - Applicable Recurring - Applicable	2021-01-28 22:32:21	2021-02-03 4:30:21	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	KOSS	Drip - Applicable Recurring - Applicable	2021-01-28 22:32:39	2021-02-02 10:49:46	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	NAKD	Drip - Applicable Recurring - Applicable	2021-01-28 22:33:02	2021-02-02 20:14:31	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	NOK	Drip - Applicable Recurring - Applicable	2021-01-28 22:33:24	2021-02-02 20:15:30	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	SNDL	Drip - Applicable Recurring - Applicable	2021-01-28 22:33:46	2021-01-30 22:32:02	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	TR	Drip - Applicable Recurring - Applicable	2021-01-28 22:34:18	2021-01-30 22:36:10	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	TRVG	Drip - Applicable Recurring - Applicable	2021-01-28 22:34:38	2021-01-30 22:36:39	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
Implemented PCO restrictions on fractional trading	ACB	N/A	2021-01-29 15:10:15	2021-01-30 22:20:38	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	AG	N/A	2021-01-29 15:10:37	2021-01-30 22:21:52	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	AMD	N/A	2021-01-29 15:11:07	2021-01-30 22:23:54	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	BYND	N/A	2021-01-29 15:11:50	2021-01-30 22:27:38	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	CCIV	N/A	2021-01-29 15:12:11	2021-01-30 22:28:33	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	CLOV	N/A	2021-01-29 15:12:38	2021-01-30 22:29:01	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	CRIS	N/A	2021-01-29 15:13:00	2021-01-30 22:29:44	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	EZGO	N/A	2021-01-29 15:13:42	2021-01-30 22:31:07	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	GM	N/A	2021-01-29 15:14:30	2021-01-30 22:37:29	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	HIMS	N/A	2021-01-29 15:15:13	2021-01-30 22:33:35	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	INO	N/A	2021-01-29 15:29:53	2021-01-30 22:33:54	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	IPOE	N/A	2021-01-29 15:30:26	2021-01-30 22:34:17	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	IPOF	N/A	2021-01-29 15:30:46	2021-01-30 22:34:37	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	JAGX	N/A	2021-01-29 15:31:04	2021-01-30 22:35:49	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	LLIT	N/A	2021-01-29 15:31:35	2021-01-30 22:36:20	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	MRNA	N/A	2021-01-29 15:31:53	2021-01-30 22:24:50	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	MUX	N/A	2021-01-29 15:32:12	2021-01-30 22:29:04	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	NCTY	N/A	2021-01-29 15:32:33	2021-01-30 22:29:38	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	NVAX	N/A	2021-01-29 15:30:33	2021-01-30 22:26:59	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	OPEN	N/A	2021-01-29 15:29:29	2021-01-30 22:21:33	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	RKT	N/A	2021-01-29 15:29:01	2021-01-30 22:26:04	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	RLX	N/A	2021-01-29 15:28:46	2021-01-30 22:18:34	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	SBUX	N/A	2021-01-29 15:28:08	2021-01-30 22:23:25	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	SHLS	N/A	2021-01-29 15:27:43	2021-01-30 22:22:56	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	SLV	N/A	2021-01-29 15:27:03	2021-01-30 22:30:55	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	SOXL	N/A	2021-01-29 15:26:20	2021-01-30 22:33:04	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	SRNE	N/A	2021-01-29 15:25:35	2021-01-30 22:33:43	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	STPK	N/A	2021-01-29 15:24:38	2021-01-30 22:34:28	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	TGC	N/A	2021-01-29 15:23:32	2021-01-30 22:35:03	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	TIRX	N/A	2021-01-29 15:23:04	2021-01-30 22:35:31	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	WKHS	N/A	2021-01-29 15:21:09	2021-01-30 22:19:16	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	XM	N/A	2021-01-29 15:20:27	2021-01-30 22:37:09	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
	ZOM	N/A	2021-01-29 15:18:44	2021-01-30 22:15:32	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed PCO restrictions on fractional trading in certain symbols to ensure position limits placed on those symbols would not be circumvented by fractional purchases.
POSITION LIMITS (POST-JANUARY 28, 2021 PCOs)						
Equity Position Limits						
Imposed limits on purchase of equity shares	AAL (55) AMC (115) BB (65) BBBY (30) CTRM (1650) EXPR (200) GME (5) KOSS (25) NAKD (750) NOK (110) SNDL (1200) TR (25) TRVG (400)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-01-28 21:08:36	2021-01-29 12:02:20	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchase of equity shares	AAL (55) AMC (25) BB (25) BBBY (30) CTRM (1650) EXPR (200) GME (2) KOSS (10) NAKD (300) NOK (50) SNDL (1200 TR (25) TRVG (400)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-01-29 12:02:20	2021-01-29 13:36:53	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
Imposed limits on purchase of equity shares	AAL (5) AG (5) AMC (10) AMD (1) BB (5) BBBY (2) CTRM (100) EXPR (5) GME (1) GTE (150) JAGX (30) KOSS (1) MRNA (1) NAKD (50) NCTY (5) NOK (20) RYCEY (75) SLV (5) WKHS (3) XM (2)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-01-29 13:36:53	2021-01-29 14:48:07	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchase of equity shares for the following: 1. AAL 2. ACB 3. AG 4. AMC 5. AMD 6. BB 7. BBBY 8. BYDDY 9. BYND 10. CCIV 11. CLOV 12. CRIS 13. CTRM 14. EXPR 15. EZGO 16. GM 17. GME 18. GTE 19. HIMS 20. INO 21. IPOE 22. IPOF	**49 symbols:** GME (1); AMC (1); NAKD (5); BB (1); NOK (5); KOSS (1); EXPR (5); CTRM (5); BBBY (1) XM (1); MRNA (1); NCTY (1); GTE (5); RYCEY (5); AAL (1); AG (1); SLV (1); WKHS (1); AMD (1); JAGX (5); NVAX (1); SHLS (1); TGC (5); SRNE (1); IPOE (1); SOXL (1); SBUX (1); IPOF (1); ZOM (5); LLIT (5); CCIV (1); MUX (5); BYND (1); HIMS (1); EZGO (5); INO (1); CLOV (1); CRIS (1); TIRX (1); TRVG (5); GM (1); TRXC (5); RKT (1); STPK (1); OPEN (1); ACB (1); RLX (1); SIEB (5); BYDDL (1)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-01-29 14:48:07	2021-01-29 15:24:27	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
	51 symbols: GME (1); AMC (1); NAKD (5); BB (1); NOK (5); KOSS (1); EXPR (5); CTRM (5); BBBY (1) XM (1); MRNA (1); NCTY (1); GTE (5); RYCEY (5); AAL (1); AG (1); SLV (1); WKHS (1); AMD (1); JAGX (5); NVAX (1); SHLS (1); TGC (5); SRNE (1); IPOE (1); SOXL (1); SBUX (1); IPOF (1); ZOM (5); LLIT (5); CCIV (1); MUX (5); BYND (1); HIMS (1); EZGO (5); INO (1); CLOV (1); CRIS (1); TIRX (1); TRVG (5); GM (1); TRXC (5); RKT (1); STPK (1); OPEN (1); ACB (1); RLX (1); SIEB (5); BYDDL (1); SNDL (5); TR (1)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-01-29 15:24:27	2021-01-30 21:46:59	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of equity shares	AMC (10) BB (700) EXPR (20) GME (1) GNUS (600) KOSS (2) NAKD (600) NOK (200)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-01-30 21:46:59	2021-02-01 11:08:16	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
	AMC (75) BB (700) EXPR (200) GME (4) GNUS (5000) KOSS (25) NAKD (6500) NOK (2000)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-02-01 11:08:16	2021-02-01 13:22:05	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
	AMC (350) BB (700) EXPR (1000) GME (20) GNUS (5000) KOSS (150) NAKD (6500) NOK (2000)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-02-01 13:22:05	2021-02-02 10:44:45	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
	AMC (1250) EXPR (3000) GME (100) NAKD (12000) NOK (2000)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-02-02 10:44:45	2021-02-02 20:15:27	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
	AMC (1250) GME (100)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-02-02 20:15:27	2021-02-03 20:59:12	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
	AMC (5500) GME (500)	Fractional - Not Applicable Drip - Not Applicable Recurring - Applicable	2021-02-03 20:59:12	2021-02-04 21:17:50	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Option Contract Position Limits						
Imposed limits on purchases of options contracts	AAL (50) AMC (100) BBBY (50) DASH (1000) DDS (1000) EXPR (100) FIZZ (1000) FOSL (1000) GME (10) GSX (1000) IRBT (1000) M (1000) NOK (100) SKT (1000) SNDL (100) SPCE (1000) TR (50) TRVG (100) *NAKD and KOSS inadvertently added and removed on 2021-01-28 21:14:41	N/A	2021-01-28 20:58:09	2021-01-28 21:14:41	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
Imposed limits on purchases of options contracts	AAL (25) AMC (50) BB (50) BBBY (25) DASH (1000) DDS (1000) EXPR (50) FIZZ (1000) FOSL (1000) GME (5) GSX (1000) IRBT (1000) M (1000) NOK (50) SKT (1000) SNDL (50) SPCE (1000) TR (25) TRVG (50)	N/A	2021-01-28 21:14:41	2021-01-29 13:42:13	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of options contracts	AAL (10) AMC (10) BB (10) BBBY (10) DASH (1000) DDS (1000) EXPR (10) FIZZ (1000) FOSL (1000) GME (5) GSX (1000) IRBT (1000) M (1000) NOK (10) SKT (1000) SNDL (10) SPCE (1000) TR (10) TRVG (10)	N/A	2021-01-29 13:42:13	2021-01-30 21:16:02	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of options contracts	AMC (10) BB (700) DASH (1000) DDS (1000) EXPR (20) FIZZ (1000) FOSL (1000) GME (5) GSX (1000) IRBT (1000) M (1000) NOK (1000) SKT (1000) SPCE (1000)	N/A	2021-01-30 21:16:02	2021-02-01 11:12:11	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
Imposed limits on purchases of options contracts	AMC (75) BB (700) DASH (1000) DDS (1000) EXPR (200) FIZZ (1000) FOSL (1000) GME (5) GSX (1000) IRBT (1000) M (1000) NOK (1000) SKT (1000) SPCE (1000)	N/A	2021-02-01 11:12:11	2021-02-01 13:25:33	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of options contracts	AMC (350) BB (700) DASH (1000) DDS (1000) EXPR (1000) FIZZ (1000) FOSL (1000) GME (20) GSX (1000) IRBT (1000) M (1000) NOK (1000) SKT (1000) SPCE (1000)	N/A	2021-02-01 13:25:33	2021-02-02 10:45:07	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of options contracts	AMC (1250) DASH (1000) DDS (1000) EXPR (3000) FIZZ (1000) FOSL (1000) GME (100) GSX (1000) IRBT (1000) M (1000) NOK (2000) SKT (1000) SPCE (1000)	N/A	2021-02-02 10:45:07	2021-02-02 20:17:21	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of options contracts	AMC (1250) DASH (1000) DDS (1000) FIZZ (1000) FOSL (1000) GME (100) GSX (1000) IRBT (1000) M (1000) SKT (1000) SPCE (1000)	N/A	2021-02-02 20:17:21	2021-02-03 20:57:14	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.
Imposed limits on purchases of options contracts	AMC (5000) DASH (1000) DDS (1000) FIZZ (1000) FOSL (1000) GME (500) GSX (1000) IRBT (1000) M (1000) SKT (1000) SPCE (1000)	N/A	2021-02-03 20:57:14	2021-02-04 21:16:55	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.

Trade Limit or Restriction	Symbol (Equity/Option)	Application to Fractional/Dividend Reinvestment/Recurring Orders	Date and Timestamp — When Effective (Eastern)	Date and Timestamp — When Removed (Eastern)	Approver	Reason
Imposed limits on purchases of options contracts	DASH (1000) DDS (1000) FIZZ (1000) FOSL (1000) GSX (1000) IRBT (1000) M (1000) SKT (1000) SPCE (1000)	N/A	2021-02-04 21:16:55	2021-02-18 12:06:28	Jim Swartwout, President and Chief Operating Officer of RHS	RHS imposed limits on certain symbols' options and equities from January 29, 2021 through February 4, 2021 to ensure RHS would continue to meet NSCC's deposit requirements. RHS imposed the narrowest possible quantity limits based on how RHS anticipated trading in these securities would affect NSCC's VaR charge and adjusted the limits based on net trading activity.