

**Report for Mizuho Securities USA Inc.**  
**SEC Rule 606 Report Disclosure**  
**3rd Quarter, 2019**

<b>NYSE Listed Securities</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
Virtu Financial, Inc.	51.22%	0.00%	0.00%	92.13%
Clearpool Execution Services	48.01%	53.56%	100.00%	6.61%
Total Orders	100.00%	0.15%	44.26%	55.59%

\* Orders for which customer requests special handling

<b>NASDAQ Listed Securities</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
Clearpool Execution Services	88.06%	64.57%	100.00%	22.66%
Virtu Financial, Inc.	11.48%	0.00%	0.00%	74.61%
Total Orders	100.00%	0.12%	84.50%	15.38%

\* Orders for which customer requests special handling

<b>Securities Listed on NYSE MKT/Regional Exchanges</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
Clearpool Execution Services	53.05%	100.00%	100.00%	17.97%
Virtu Financial, Inc.	28.51%	0.00%	0.00%	49.82%
CITADEL	15.68%	0.00%	0.00%	27.40%
Total Orders	100.00%	7.84%	34.93%	57.23%

\* Orders for which customer requests special handling

<b>Exchange-Listed Options</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
WEX-CBOE-FLOOR-	100.00%	100.00%	0.00%	0.00%
Total Orders	100.00%	100.00%	0.00%	0.00%

\* Orders for which customer requests special handling

[Material Aspects of Relationships with Route Venues](#)

