

# SOFI - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2023

October 2023

## S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	76.40	0.90	6.48	16.22

### Venues

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Virtu Americas, LLC	32.56	28.13	19.54	9.67	63.30	635.66	12.0000	0.18	12.6266	1.12	22.0338	296.88	20.8745
Jane Street Capital	22.02	25.00	13.80	6.89	14.51	559.77	12.0000	0.12	12.2218	0.84	23.1691	324.17	23.2000
HRT	20.37	25.08	16.80	16.33	0.00	524.77	12.0000	0.15	12.4553	1.95	22.6530	0.00	0.0000
CITADEL SECURITIES LLC	11.82	10.37	12.30	14.89	17.37	245.44	12.0000	0.11	12.6222	1.77	22.5286	275.30	23.2000
Canaccord Genuity Securities	3.83	4.90	2.87	0.80	0.08	106.05	12.0000	0.03	13.0667	0.10	22.6667	0.45	23.2000
CODA MARKETS INC	3.60	4.67	3.55	0.00	0.00	90.68	12.0000	0.03	12.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	1.74	0.00	14.62	24.40	0.17	0.00	0.0000	-5.53	-8.5453	4.04	0.5293	-0.49	-5.5798
Two Sigma Securities, LLC	1.06	0.00	0.00	5.24	4.42	0.00	0.0000	0.00	0.0000	0.64	23.2000	101.34	23.2000
StoneX	0.90	1.02	0.96	1.54	0.05	17.52	12.0000	0.01	12.0000	0.19	23.0617	0.61	23.2000
G1 Execution Services, LLC	0.63	0.82	0.41	0.00	0.00	15.31	12.0000	0.00	12.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

Virtu Americas, LLC:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Virtu Americas. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Virtu Americas by Apex for execution.

Jane Street Capital:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Jane Street Capital. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Jane Street Capital by Apex for execution.

HRT:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Husdon River Trading. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Hudson River Trading by Apex for execution.

CITADEL SECURITIES LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Citadel. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Citadel by Apex for execution.

Canaccord Genuity Securities:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Canaccord Genuity. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Canaccord Genuity by Apex for execution.

CODA MARKETS INC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CODA. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CODA by Apex for execution.

NYSE Arca, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at NYSE Arca. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to NYSE Arca by Apex for execution.

Two Sigma Securities, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Two Sigma Securities. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Two Sigma Securities by Apex for execution.

G1 Execution Services, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at G1 Execution Sevicees. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to G1 Executions Services by Apex for execution.

October 2023

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	70.16	1.99	4.41	23.44

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Virtu Americas, LLC	32.85	28.19	22.31	9.24	52.13	7,356.80	11.9541	221.95	11.9414	95.49	16.8789	5,873.96	9.5800
Jane Street Capital	22.39	25.00	21.46	4.98	17.93	7,861.83	11.9737	289.46	11.9533	112.83	14.9106	6,899.92	8.5065
HRT	18.66	25.09	20.76	14.54	0.00	7,476.79	11.9797	327.93	11.9625	163.17	14.1238	0.00	0.0000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	14.59	12.09	10.42	13.16	22.69	3,510.18	11.9787	128.92	11.9583	7.41	17.8241	6,703.40	7.4707
Canaccord Genuity Securities	3.54	4.85	4.06	1.02	0.05	1,347.00	11.9673	78.30	11.9735	0.42	16.3583	38.11	23.2000
CODA MARKETS INC	2.03	2.89	0.31	0.00	0.00	536.25	11.9950	0.02	9.8824	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	1.78	0.01	0.26	4.30	6.70	529.22	11.9999	282.12	11.9997	35.47	12.3077	1,909.82	5.3631
NYSE Arca, Inc.	1.30	0.00	5.56	25.51	0.29	0.00	0.0000	-162.74	-7.5817	88.70	0.6214	-67.47	-1.3367
StoneX	0.88	1.15	0.63	1.18	0.05	283.24	11.9899	0.16	10.3425	2.80	22.9534	0.67	8.7227
G1 Execution Services, LLC	0.52	0.72	0.59	0.00	0.00	325.54	11.9998	0.17	10.4348	0.00	0.0000	0.00	0.0000

Material Aspects:

Virtu Americas, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Virtu Americas. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Virtu Americas by Apex for execution.

Jane Street Capital:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Jane Street Capital. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Jane Street Capital by Apex for execution.

HRT:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Hudson River Trading. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Hudson River Trading by Apex for execution.

CITADEL SECURITIES LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Citadel. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Citadel by Apex for execution.

Canaccord Genuity Securities:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Canaccord Genuity. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Canaccord Genuity by Apex for execution.

CODA MARKETS INC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CODA. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CODA by Apex for execution.

Two Sigma Securities, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Two Sigma Securities. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Two Sigma Securities by Apex for execution.

NYSE Arca, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at NYSE Arca. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to NYSE Arca by Apex for execution.

G1 Execution Services, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at G1 Execution Sevices. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to G1 Executions Services by Apex for execution.

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	0.60	45.71	53.32	0.37

Venues

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Dash Financial Technologies	46.25	45.78	48.21	44.62	39.93	248.66	22.2021	31,445.10	19.6239	22,372.89	20.2160	345.21	22.3147
Wolverine Execution Services, LLC	23.72	22.67	22.54	24.71	27.84	94.60	23.0732	18,251.27	21.1112	14,079.96	21.8473	158.80	24.2813
CITADEL SECURITIES LLC	20.51	21.11	19.88	21.04	20.15	165.99	24.3747	16,935.36	20.5464	11,576.11	21.7013	253.38	24.1318
WATERSHED	9.52	10.44	9.37	9.63	12.09	50.92	21.4852	8,464.60	20.6797	5,525.40	21.1847	82.04	21.3646

November 2023

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	76.46	0.81	5.72	17.00

Venues

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Virtu Americas, LLC	35.12	29.80	20.76	16.19	66.10	569.40	12.0000	0.15	12.4667	1.50	22.8079	295.39	20.8524
Jane Street Capital	23.76	26.72	14.36	6.85	16.60	485.90	12.0000	0.10	12.1349	0.64	23.1597	290.50	23.2000
HRT	21.86	26.99	19.38	18.58	0.00	553.58	12.0000	0.14	12.7000	1.72	22.8584	0.00	0.0000
CITADEL SECURITIES LLC	8.54	6.11	8.30	16.06	16.95	117.39	12.0000	0.06	12.4667	1.48	22.7706	245.53	23.2000

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Canaccord Genuity Securities	3.90	4.99	3.63	0.96	0.00	110.49	12.0000	0.03	12.5333	0.09	22.3385	0.00	0.0000
CODA MARKETS INC	3.62	4.71	2.08	0.00	0.00	84.60	12.0000	0.01	12.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	1.49	0.00	15.22	23.48	0.11	0.00	0.0000	-0.45	-0.6180	50.21	8.4526	1.03	4.0630
G1 Execution Services, LLC	0.52	0.67	0.69	0.00	0.00	13.82	12.0000	0.00	12.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	0.44	0.00	3.63	7.10	0.01	0.00	0.0000	-5.75	-30.0000	40.57	13.9262	-0.00	-30.0000
Cboe EDGX Exchange, Inc.	0.33	0.00	3.98	5.05	0.02	0.00	0.0000	-2.72	-30.0000	-11.87	-12.9654	-0.86	-30.0000

Material Aspects:

Virtu Americas, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Virtu Americas. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Virtu Americas by Apex for execution.

Jane Street Capital:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Jane Street Capital. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Jane Street Capital by Apex for execution.

HRT:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Hudson River Trading. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Hudson River Trading by Apex for execution.

CITADEL SECURITIES LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Citadel. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Citadel by Apex for execution.

Canaccord Genuity Securities:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Canaccord Genuity. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Canaccord Genuity by Apex for execution.

CODA MARKETS INC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CODA. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CODA by Apex for execution.

NYSE Arca, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at NYSE Arca. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to NYSE Arca by Apex for execution.

G1 Execution Services, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at G1 Execution Sevices. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to G1 Executions Services by Apex for execution.

The Nasdaq Stock Market:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at The Nasdaq Stock Market. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to The Nasdaq Stock Market by Apex for execution.

Cboe EDGX Exchange, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CBOE. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CBOE by Apex for execution.

## Non-S&P 500 Stocks

### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	70.07	2.37	4.31	23.26

### Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Virtu Americas, LLC	34.51	29.94	22.46	9.91	54.08	12,386.61	11.9585	183.32	11.9000	92.28	15.6090	6,029.06	8.5128
Jane Street Capital	24.57	26.83	18.92	3.91	22.18	13,124.36	11.9527	250.54	11.9349	177.69	15.8717	9,121.55	8.1727
HRT	19.76	26.73	20.77	12.40	0.00	11,943.50	11.9858	329.08	11.9470	267.36	12.5938	0.00	0.0000
CITADEL SECURITIES LLC	11.42	7.79	8.67	9.45	23.00	5,066.06	11.9959	354.98	11.9814	124.34	12.1626	6,626.90	6.8664
Canaccord Genuity Securities	3.61	4.99	3.40	0.75	0.00	2,179.73	11.9906	76.17	11.9658	0.44	15.4434	0.00	0.0000
CODA MARKETS INC	2.08	2.95	0.27	0.00	0.00	858.15	11.9963	0.02	9.4737	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	1.82	0.00	9.18	34.96	0.41	0.00	0.0000	-162.09	-5.1547	18.35	0.1435	65.30	3.0580
G1 Execution Services, LLC	0.56	0.78	0.58	0.01	0.00	380.72	11.9865	32.05	11.9861	12.66	12.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	0.50	0.00	4.84	8.76	0.04	0.00	0.0000	-329.90	-26.0753	-451.26	-21.5980	-25.59	-29.2304
The Nasdaq Stock Market	0.42	0.00	2.47	7.92	0.07	0.00	0.0000	-175.56	-25.5945	-278.31	-14.1421	-16.11	-22.8077

### Material Aspects:

Virtu Americas, LLC:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Virtu Americas. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Virtu Americas by Apex for execution.

Jane Street Capital:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Jane Street Capital. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Jane Street Capital by Apex for execution.

HRT:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Hudson River Trading. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Hudson River Trading by Apex for execution.

CITADEL SECURITIES LLC:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Citadel. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Citadel by Apex for execution.

Canaccord Genuity Securities:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Canaccord Genuity. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Canaccord Genuity by Apex for execution.

CODA MARKETS INC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CODA. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CODA by Apex for execution.

NYSE Arca, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at NYSE Arca. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to NYSE Arca by Apex for execution.

G1 Execution Services, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at G1 Execution Sevice. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to G1 Executions Services by Apex for execution.

Cboe EDGX Exchange, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CBOE. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CBOE by Apex for execution.

The Nasdaq Stock Market:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at The Nasdaq Stock Market. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to The Nasdaq Stock Market by Apex for execution.

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## November 2023

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### Options

#### Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	0.73	46.08	52.81	0.37

#### Venues

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Dash Financial Technologies	43.24	44.56	45.79	41.07	32.41	248.16	22.0391	52,077.60	20.5505	26,874.12	21.1656	372.08	24.2082
Wolverine Execution Services, LLC	26.28	28.07	24.76	27.52	34.14	240.00	23.5756	34,618.48	20.8185	18,616.08	21.8856	346.88	27.9067
CITADEL SECURITIES LLC	19.52	18.25	18.63	20.28	22.76	422.72	20.6709	33,410.60	21.5194	13,634.08	22.3744	1,350.76	20.2817
WATERSHED	10.97	9.12	10.81	11.13	10.69	297.36	22.2408	16,905.24	21.7394	6,616.32	21.2477	100.56	22.2971

## December 2023

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### S&P 500 Stocks

## Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	77.96	0.83	4.57	16.64

## Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Virtu Americas, LLC	35.91	30.17	18.37	16.37	69.07	722.45	12.0000	0.14	12.4870	1.28	22.6837	365.44	20.5838
HRT	22.02	27.00	18.21	17.79	0.00	606.75	12.0000	0.14	12.4912	1.40	22.8163	0.00	0.0000
Jane Street Capital	19.65	22.55	10.70	7.95	9.72	557.94	12.0000	0.08	12.1672	0.64	23.2000	296.43	23.2000
CITADEL SECURITIES LLC	7.30	6.02	7.03	9.49	12.74	147.62	12.0000	0.06	12.7636	0.74	22.4807	289.13	23.2000
StoneX	4.73	4.06	2.24	3.86	8.23	76.11	12.0000	0.02	14.4000	0.31	23.2000	189.35	23.2000
Canaccord Genuity Securities	3.88	4.87	5.27	0.87	0.00	142.31	12.0000	0.04	12.0000	0.07	22.4533	0.00	0.0000
CODA MARKETS INC	3.55	4.53	2.08	0.00	0.00	97.69	12.0000	0.02	12.0000	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	1.16	0.00	18.05	21.39	0.18	0.00	0.0000	18.66	18.6406	23.07	5.7320	4.10	22.4644
G1 Execution Services, LLC	0.64	0.81	0.96	0.00	0.00	25.07	12.0000	0.01	12.0000	0.00	0.0000	0.00	0.0000
The Nasdaq Stock Market	0.36	0.00	4.31	7.08	0.00	0.00	0.0000	-4.12	-30.0000	33.22	16.8344	0.00	0.0000

## Material Aspects:

Virtu Americas, LLC:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Virtu Americas. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Virtu Americas by Apex for execution.

HRT:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Hudson River Trading. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Hudson River Trading by Apex for execution.

Jane Street Capital:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Jane Street Capital. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Jane Street Capital by Apex for execution.

CITADEL SECURITIES LLC:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Citadel. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Citadel by Apex for execution.

Canaccord Genuity Securities:

SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Canaccord Genuity. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Canaccord Genuity by Apex for execution.

CODA MARKETS INC:



SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CODA. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CODA by Apex for execution.

NYSE Arca, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at NYSE Arca. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to NYSE Arca by Apex for execution.

G1 Execution Services, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at G1 Execution Sevice. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to G1 Executions Services by Apex for execution.

The Nasdaq Stock Market:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at The Nasdaq Stock Market. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to The Nasdaq Stock Market by Apex for execution.

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December 2023

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	71.67	1.97	3.97	22.39

Venues

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Virtu Americas, LLC	34.92	29.91	21.80	9.84	56.55	13,860.52	11.9814	102.08	11.8443	52.86	12.3394	7,068.00	8.5749
HRT	20.15	27.00	19.11	10.67	0.00	13,130.66	11.9959	185.14	11.9237	126.21	13.2558	0.00	0.0000
Jane Street Capital	19.76	22.67	14.48	4.47	13.61	12,608.74	11.9867	274.17	11.9585	231.57	12.6886	6,227.45	7.3991
CITADEL SECURITIES LLC	10.13	7.93	8.67	5.70	18.09	6,275.85	11.9865	458.32	11.9869	134.19	12.3976	7,039.20	6.8961
StoneX	5.48	3.96	2.95	2.51	11.11	1,573.56	11.9973	11.77	11.8177	0.58	17.5589	4,459.85	7.8537
Canaccord Genuity Securities	3.62	4.93	3.30	0.55	0.00	2,827.00	11.9888	293.57	11.9923	0.34	15.5778	0.00	0.0000
CODA MARKETS INC	2.05	2.85	0.26	0.00	0.00	1,048.48	12.0000	0.02	9.8824	0.00	0.0000	0.00	0.0000
NYSE Arca, Inc.	1.67	0.00	9.96	34.65	0.42	0.00	0.0000	-129.57	-4.5809	83.81	0.5060	-111.52	-6.6924
G1 Execution Services, LLC	0.56	0.77	0.49	0.00	0.00	418.75	12.0000	73.95	11.9947	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	0.50	0.00	5.61	9.51	0.06	0.00	0.0000	-245.92	-22.7162	-730.71	-20.1188	-55.65	-29.3442

Material Aspects:

Virtu Americas, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Virtu Americas. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Virtu Americas by Apex for execution.

HRT:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Hudson River Trading. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Hudson River Trading by Apex for execution.

Jane Street Capital:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Jane Street Capital. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Jane Street Capital by Apex for execution.

CITADEL SECURITIES LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Citadel. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Citadel by Apex for execution.

Canaccord Genuity Securities:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at Canaccord Genuity. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to Canaccord Genuity by Apex for execution.

CODA MARKETS INC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CODA. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CODA by Apex for execution.

NYSE Arca, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at NYSE Arca. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to NYSE Arca by Apex for execution.

G1 Execution Services, LLC:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at G1 Execution Sevice. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to G1 Executions Services by Apex for execution.

Cboe EDGX Exchange, Inc.:  
SoFi Securities LLC ("SoFi") routes order flow to Apex Clearing Corporation ("Apex") who in turn routes to and executes order flow at CBOE. SoFi and Apex have an 80%/20% (in favor of SoFi) split on all payment for order flow generated from SoFi's equities orders routed to CBOE by Apex for execution.

December 2023

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	0.78	44.79	54.02	0.41

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Dash Financial Technologies	35.72	35.96	38.62	33.34	32.31	293.28	24.4604	50,260.64	22.3862	30,170.44	21.9843	321.12	23.6989
Wolverine Execution Services, LLC	27.32	24.02	25.38	28.92	33.59	371.80	24.2689	32,744.00	22.6853	24,453.56	22.6099	253.44	24.2294

Venue - Non-directed Order Flow	Non- Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non- Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non- Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non- Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
CITADEL SECURITIES LLC	25.86	27.27	24.93	26.66	20.26	375.00	27.9226	34,587.92	21.6018	23,805.00	21.9494	332.36	25.0649
WATERSHED	11.10	12.75	11.07	11.08	13.85	100.64	23.4047	17,553.36	23.0123	8,794.40	21.4728	131.64	22.8146