

Cannacord Genuity Inc. - Held NMS Stocks and Options Order Routing Public Report

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2nd Quarter, 2024

April 2024

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	0.00	0.00	0.00	100.00

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)
Clearpool Execution Services, LLC	42.86	0.00	0.00	0.00	42.86	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	28.57	0.00	0.00	0.00	28.57	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
CITADEL SECURITIES LLC	14.29	0.00	0.00	0.00	14.29	377.92	10.0000	895.76	10.0000	155.35	10.0000	537.99	10.0000
EANJ	14.29	0.00	0.00	0.00	14.29	0.00	0.0000	0.00	0.0000	0.00	0.0000	-142.74	-20.0000

Material Aspects:

Clearpool Execution Services, LLC:
Clearpool charges a rate of \$0.005 per share plus exchange costs/ rebates according to whether the order adds or removes liquidity.

Morgan Stanley & Co., LLC:
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.005 cost plus per share. MSCO also passes back/on any fees associated with trading on the exchanges.

CITADEL SECURITIES LLC:
Citadel's fees follow the maker/taker construct plus \$0.005 per share. Additional rebates for larger flow are also given.

EANJ:
E & J Securities (EANJ)are floor brokers (\$2 brokers) on the New York Stock Exchange and charge CG-ADAM a rate of \$0.002 per share for executions done with them.

April 2024

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	0.52	2.09	0.00	97.38

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)
Morgan Stanley & Co., LLC	93.72	0.00	0.00	0.00	96.24	0.00	0.0000	0.00	0.0000	0.00	0.0000	-376.78	-9.0000

Material Aspects:

Morgan Stanley & Co., LLC:
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.005 cost plus per share. MSCO also passes back/on any fees associated with trading on the exchanges.

April 2024

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	0.52	20.62	37.11	41.75

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)
Matrix Executions, LLC / Simplex Trading, LLC	87.11	100.00	100.00	97.22	71.60	0.00	0.0000	1,265.00	50.0000	1,043.50	50.0000	0.00	0.0000
PTR	4.12	0.00	0.00	0.00	9.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	-22.50	-2.2500

Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:

Matrix Executions is a member of all US options exchanges, and charges CG-ADAM at a rate between \$0.05 to \$1.10 per contract. Cannaccord primarily utilizes Matrix's SMART ROUTER. Matrix also passes on/back any rebates/fees associated with trading on the exchanges. Please see Matrix Executions's order routing information at: <https://www.matrixexecutions.com/>

PTR:
PTR INC, floor brokers on the PHLX Options Exchange, charge CG-ADAM at a rate of \$0.05/\$0.025 per contract/ cross executed with them.

May 2024

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	1.89	0.00	0.00	98.11

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 Marketable Limit 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)
Morgan Stanley & Co., LLC	96.23	0.00	0.00	0.00	98.08	0.00	0.0000	0.00	0.0000	0.00	0.0000	-3.06	-9.0000

Material Aspects:

Morgan Stanley & Co., LLC:
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.005 cost plus per share. MSCO also passes back/on any fees associated with trading on the exchanges.

May 2024

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	2.86	0.00	0.00	97.14

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)
Morgan Stanley & Co., LLC	77.14	0.00	0.00	0.00	79.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	-92.90	-9.0000
RBC Capital Markets Corporation	5.71	0.00	0.00	0.00	5.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	-0.54	-5.0000
CITADEL SECURITIES LLC	5.71	0.00	0.00	0.00	5.88	454.34	10.0000	6,671.83	9.5119	523.41	10.0000	1,328.61	9.8668
EANJ	5.71	0.00	0.00	0.00	5.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	-230.00	-20.0000

Material Aspects:

Morgan Stanley & Co., LLC:
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.005 cost plus per share. MSCO also passes back/on any fees associated with trading on the exchanges.

RBC Capital Markets Corporation:
ROYAL BANK OF CANADA (RBC) executes orders on behalf of CG-ADAM at a rate of \$0.005 per share and also passes on/back fees or rebates associated with execution on the various exchanges.Please see RBC's routing information at:- <https://www.rbccm.com/assets/rbccm/docs/legal/RBC-Capital-Markets-Regulatory-Disclosures-Equities-and-Listed-Options.pdf>

CITADEL SECURITIES LLC:
Citadel's fees follow the maker/taker construct plus \$0.005 per share. Additional rebates for larger flow are also given.

EANJ:
E&J Securities are floor brokers on the NYSE, and charge CG-ADAM a rate of \$0.002 per share for executions.

May 2024

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	0.82	6.79	38.59	53.80

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)
Matrix Executions, LLC / Simplex Trading, LLC	82.61	66.67	80.00	85.21	81.31	0.00	0.0000	408.50	50.0000	1,804.00	50.0000	0.00	0.0000
D & D Securities, Inc.	4.89	0.00	0.00	0.00	9.09	0.00	0.0000	0.00	0.0000	0.00	0.0000	-14.22	-3.1590

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)
Israel A. Englander & Co., Inc.	4.35	0.00	12.00	3.52	4.04	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:
Matrix Executions is a member of all US options exchanges, and charges CG-ADAM at a rate between \$0.05 to \$1.10 per contract. Cannaccord primarily utilizes Matrix's SMART ROUTER. Matrix also passes on/back any rebates/fees associated with trading on the exchanges. Please see Matrix Executions's order routing information at: <https://www.matrixexecutions.com/>

D & D Securities, Inc.:
D&D Securities - floor brokers on the PHLX Options Exchange, charge CG-ADAM at a rate of \$0.05/ \$0.025 per contract/cross, and pass on/back rebates or charges associated with trading on the exchanges.

Israel A. Englander & Co., Inc.:
Israel A. Englander & Co., Inc. is a Floor Broker on the AMEX Exchange. IAEC charges Canaccord a rate of 0.025 per contract for executions.

June 2024

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	0.00	0.00	0.00	100.00

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)
Morgan Stanley & Co., LLC	100.00	0.00	0.00	0.00	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	-7.70	-9.0000

Material Aspects:

Morgan Stanley & Co., LLC:
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.005 cost plus per share. MSCO also passes back/on any fees associated with trading on the exchanges.

June 2024

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	0.00	0.00	8.70	91.30

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)
Morgan Stanley & Co., LLC	95.65	0.00	0.00	50.00	100.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	-33.08	-9.0000

Material Aspects:

Morgan Stanley & Co., LLC:
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.005 cost plus per share. MSCO also passes back/on any fees associated with trading on the exchanges.

June 2024

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	0.64	6.37	34.39	58.60

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)
Matrix Executions, LLC / Simplex Trading, LLC	85.99	0.00	90.00	96.30	80.43	0.00	0.0000	42.50	50.0000	303.50	50.0000	0.00	0.0000
Israel A. Englander & Co., Inc.	7.01	0.00	0.00	1.85	10.87	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cheevers & Company Inc.	5.10	0.00	0.00	0.00	8.70	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:

Matrix Executions is a member of all US options exchanges, and charges CG-ADAM at a rate between \$0.05 to \$1.10 per contract. Cannaccord primarily utilizes Matrix's SMART ROUTER. Matrix also passes on/back any rebates/fees associated with trading on the exchanges. Please see Matrix Executions's order routing information at: <https://www.matrixexecutions.com/>

Israel A. Englander & Co., Inc.:

Israel A. Englander & Co., Inc. is a Floor Broker on the AMEX Exchange. IAEC charges Canaccord a rate of 0.025 per contract for executions.

Cheevers & Company Inc.:

No material relationship exists between PENSERRA SECURITIES LLC (CHBC) and CG-ADAM. Please see Penserra's website at: <https://mta.ihsmarkit.com/app-v2/public-report-library/public-report-library-view/Penserra%20Securities%20LLC/392> for its routing information.