

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

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3rd Quarter, 2022

July 2022

## 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	99.26	0.00	0.00	0.00	99.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	-72.97	-13.0000

### Material Aspects:

Morgan Stanley & Co., LLC:

CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.0005 cost plus per share. MSCO passes back/on any fees associated with trading on the exchanges.

July 2022

## 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	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	98.96	0.00	0.00	0.00	98.96	0.00	0.0000	0.00	0.0000	0.00	0.0000	-1,114.69	-13.0000

#### Material Aspects:

Morgan Stanley & Co., LLC:

CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.0005 cost plus per share. MSCO passes back/on any fees associated with trading on the exchanges.

## July 2022

### 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	71.14	2.96	3.90	22.00

#### 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)
Matrix Executions, LLC / Simplex Trading, LLC	68.80	93.64	21.05	40.00	0.00	22.28	4.7100	135.18	4.7100	102.21	4.7100	0.00	0.0000
Dash/IMC Financial Markets	12.32	6.36	21.05	8.00	31.21	-121.20	-0.7300	-13.11	-0.7300	-1.43	-0.7300	-77.66	-0.7300
XFAS	6.24	0.00	0.00	0.00	28.37	0.00	0.0000	0.00	0.0000	0.00	0.0000	-561.78	-16.6700
Lamport Capital, L.C.	3.43	0.00	57.89	36.00	1.42	0.00	0.0000	28.35	5.2900	13.75	5.2900	0.74	5.2900

#### Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:

Matrix Executions is a member of all US options exchanges, and charges CG-ADAM up to \$0.05 per contract and \$0.0001 per share executed. Cannaccord primarily utilizes Matrix's SMART ROUTER. Matrix also passes on/back any maker/taker rebates/fees associated with trading on the exchanges. Please see Matrix Executions's order routing information at: <https://www.matrixexecutions.com/>

Dash/IMC Financial Markets:

Dash Financial Technologies charges Canaccord ADAM at a rate of \$0.0025 cost plus for crosses (options); \$0.03 to \$0.04 cost plus per contract up to 500,000 contracts, and over 500,00 contract, respectively. There is no cost for equity legs of tied options. Equity executions are charged at a rate of \$0.00024, \$0.0004 and \$0.0008 (all cost plus) for shares executed in the following buckets:- > 50 million, 25,00,001 to 50 million, <= 25 million, respectively.

XFAS:

X-CHANGE FINANCIAL ACCESS, LLC (XFAS) are floor brokers on the Chicago Board Options Exchange (CBOE) and charge CG at a rate of \$0.19/\$0.05 per contracts/ crosses (mainly SPX) executed with them. XFA may pass back/on rebates or charges associated with trading on the various exchanges. Please see routing information for XFAS at: <https://www.marex.com/the-group/x-change-financial-access-xfa/>

Lampost Capital, L.C.:  
CG-ADAM accesses a number of exchanges via Lampost for which it is charged at a rate of \$0.0003 per share for listed securities priced at <\$1.00, during regular market hours and \$0.0027 for all others (after hours removing liquidity). OTC securities are executed at a rate of \$0.0010 per share. Options that are routed electronically are executed as follows: \$0.25 rebate per contract for complex options, \$0.001 fee per share for stock leg. For all other orders the rate is \$0.10 per contract plus exchange pass-through fees, \$0.55 per contract for index and single options, \$0.70 per SPX option contract. LAMPOST may also internalize orders received. LAMPOST's order routing information can be found at: <https://thelampost.com>.

## August 2022

### 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	93.14	0.00	0.00	0.00	93.14	0.00	0.0000	0.00	0.0000	0.00	0.0000	-41.10	-12.0000

#### Material Aspects:

Morgan Stanley & Co., LLC:  
CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.0005 cost plus per share. MSCO passes back/on any fees associated with trading on the exchanges.

## August 2022

### 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	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	97.74	0.00	0.00	0.00	97.74	0.00	0.0000	0.00	0.0000	0.00	0.0000	-559.09	-12.0000

#### Material Aspects:

Morgan Stanley & Co., LLC:

CG- ADAM utilizes Morgan Stanley's services for which it is charged at a rate of \$0.0005 cost plus per share. MSCO passes back/on any fees associated with trading on the exchanges.

## August 2022

### 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	65.65	2.23	9.93	22.19

#### 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	68.79	91.98	40.91	65.31	4.57	52.20	7.2700	55.98	7.2700	112.83	7.2700	0.00	0.0000
Dash/IMC Financial Markets	12.56	5.56	4.55	9.18	35.62	-136.47	-0.7300	-3.65	-0.7300	-7.72	-0.7300	-78.58	-0.7300
Lamport Capital, L.C.	5.67	1.54	50.00	9.18	11.87	20.53	12.5200	32.05	12.5200	14.02	12.5200	145.23	12.5200
XFAS	5.37	0.15	0.00	0.00	23.74	-39.80	-15.9200	0.00	0.0000	0.00	0.0000	-834.53	-15.9200

#### Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:

Matrix Executions is a member of all US options exchanges, and charges CG-ADAM up to \$0.05 per contract and \$0.0001 per share executed. Cannaccord primarily utilizes Matrix's SMART ROUTER. Matrix also passes on/back any maker/taker rebates/fees associated with trading on the exchanges. Please see Matrix Executions's order routing information at: <https://www.matrixexecutions.com/>

Dash/IMC Financial Markets:

Dash Financial Technologies charges Canaccord ADAM at a rate of \$0.0025 cost plus for crosses (options); \$0.03 to \$0.04 cost plus per contract up to 500,000 contracts, and over 500,00 contract, respectively. There is no cost for equity legs of tied options. Equity executions are charged at a rate of \$0.00024, \$0.0004 and \$0.0008 (all cost plus) for shares executed in the following buckets:- > 50 million, 25,00,001 to 50 million, <= 25 million, respectively.

Lamport Capital, L.C.:

CG-ADAM accesses a number of exchanges via Lampost for which it is charged at a rate of \$0.0003 per share for listed securities priced at <\$1.00, during regular market hours and \$0.0027 for all others (after hours removing liquidity). OTC securities are executed at a rate of \$0.0010 per share. Options that are routed electronically are executed as follows: \$0.25 rebate per contract for complex options, \$0.001 fee per share for stock leg. For all other orders the rate is \$0.10 per contract plus exchange pass-through fees, \$0.55 per contract for index and single options, \$0.70 per SPX option contract. LAMPOST may also internalize orders received. LAMPOST's order routing information can be found at:- <https://thelampost.com>.

XFAS:  
X-CHANGE FINANCIAL ACCESS, LLC (XFAS) are floor brokers on the Chicago Board Options Exchange (CBOE) and charge CG at a rate of \$0.19/\$0.05 per contracts/ crosses (mainly SPX) executed with them. XFA may pass back/on rebates or charges associated with trading on the various exchanges. Please see routing information for XFAS at: <https://www.marex.com/the-group/x-change-financial-access-xfa/>

September 2022

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	-313.69	-12.0000

Material Aspects:

Morgan Stanley & Co., LLC:  
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September 2022

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	3.68	4.04	92.28

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	90.81	0.00	0.00	0.00	98.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	-940.05	-12.0000

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## September 2022

### Options

#### Summary

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100.00	60.49	4.86	18.69	15.96

#### 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	69.00	95.48	28.12	52.85	0.00	83.63	22.8500	200.39	22.8500	358.29	22.8500	0.00	0.0000
Lamport Capital, L.C.	12.01	2.26	25.00	8.13	49.52	6.94	11.0200	28.10	11.0200	9.15	11.0200	79.34	11.0200
Dash/IMC Financial Markets	10.64	1.76	34.38	17.89	28.57	-63.60	-0.7100	-21.69	-0.7100	-25.62	-0.7100	-97.55	-0.7100

#### Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:

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