

Canaccord Genuity Securities - 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 | 70.74 | 6.15 | 16.74 | 6.37 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Virtu Americas, LLC | 39.79 | 36.00 | 39.80 | 33.46 | 98.56 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Hudson River Trading (Hrt) | 18.03 | 23.97 | 17.41 | 0.00 | 0.00 | 26.57 | 4.1064 | 5.58 | 8.5444 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC | 15.27 | 19.95 | 17.41 | 0.00 | 1.44 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 15.15 | 19.73 | 17.91 | 0.55 | 0.00 | 12.47 | 2.0107 | 4.61 | 8.4075 | 3.69 | 10.8928 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 11.75 | 0.35 | 7.46 | 66.00 | 0.00 | -1.09 | -8.4724 | -54.05 | -17.3472 | 60.60 | 21.5288 | 0.00 | 0.0000 |

Material Aspects:

Virtu Americas, LLC:
VIRTU Americas LLC (NITE): No material relationship exists with between CANACCORD GENUITY LLC. (CSTI) and this venue.

Hudson River Trading (Hrt):
HRT Financial LLC (HRTF): Canaccord Genuity LLC. (CSTI) receives remuneration ranging from \$0.0010 to \$0.0012 per share, according to the strategy employed. There is limited remuneration for sub-dollar stocks.

Two Sigma Securities, LLC:
TWO SIGMA (SOHO): No material relationship exists with between CANACCORD GENUITY LLC. (CSTI) and this venue, but SOHO passes back any SEC fees to CSTI.

Jane Street Capital:
JANE STREET CAPITAL, LLC (JNST): Canaccord Genuity LLC. (CSTI) receives remuneration from Jane Street Capital, LLC, ranging from \$0.0010 to \$0.0012 per share executed, based on the strategy employed. JaneStreet passes back to Canaccord any rebates received on Canaccord's orders.

Cboe EDGX Exchange, Inc.:
CBOE EDGX U.S. EQUITIES EXCHANGE (EDGX): Canaccord Genuity LLC. (CSTI) is charged a fee or may receive a cash payment ranging from - \$0.0032 to \$0.0030 for order flow on a per share basis. The per share cash payment or fee is calculated based upon a variety of factors including but not limited to, order size and whether an order provides or removes liquidity. For detailed information, please see the Exchange's public website: https://www.cboe.com/us/equities/membership/fee_schedule/edgx/

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 | 41.39 | 21.72 | 34.41 | 2.49 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Cboe EDGX Exchange, Inc. | 31.44 | 0.88 | 16.33 | 79.60 | 5.88 | -4.48 | -5.0472 | -237.40 | -17.5066 | 168.38 | 14.4351 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 24.94 | 30.48 | 14.65 | 19.77 | 94.12 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Hudson River Trading (Hrt) | 15.14 | 23.50 | 24.92 | 0.00 | 0.00 | 73.37 | 6.1804 | 82.53 | 7.1090 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 14.84 | 25.35 | 19.36 | 0.43 | 0.00 | 11.03 | 3.0655 | 42.53 | 4.1883 | 4.04 | 4.8301 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC | 12.61 | 17.93 | 23.74 | 0.11 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

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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 |
|--|---|---|---|--|
| - | - | - | - | - |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| | | | | | | | | | | | | | |

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 | 61.38 | 8.75 | 22.49 | 7.39 |

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 | 34.58 | 29.57 | 24.38 | 33.30 | 92.13 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Hudson River Trading (Hrt) | 18.49 | 26.29 | 26.87 | 0.00 | 0.00 | 30.51 | 5.3104 | 15.49 | 11.6116 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 15.90 | 0.55 | 6.65 | 66.49 | 0.33 | -3.08 | -20.7636 | -11.63 | -9.5491 | 109.35 | 25.9925 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC | 15.75 | 22.46 | 22.44 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Jane Street Capital | 14.76 | 21.12 | 19.67 | 0.22 | 0.33 | 11.72 | 1.9757 | 6.43 | 8.1969 | 0.21 | 11.7956 | 82.73 | 78.0504 |

Material Aspects:

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TWO SIGMA (SOHO): No material relationship exists with between CANACCORD GENUITY LLC. (CSTI) and this venue, but SOHO passes back any SEC fees to CSTI.

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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 | 43.15 | 20.90 | 33.95 | 2.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Cboe EDGX Exchange, Inc. | 27.56 | 1.06 | 13.80 | 71.07 | 4.29 | -4.65 | -5.7702 | -123.75 | -6.9466 | 126.38 | 11.4373 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 21.67 | 16.94 | 14.21 | 27.92 | 95.71 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Hudson River Trading (Hrt) | 19.22 | 31.44 | 26.91 | 0.08 | 0.00 | 127.36 | 4.9543 | 96.06 | 7.6064 | 1.79 | 4.0509 | 0.00 | 0.0000 |
| Jane Street Capital | 16.19 | 26.41 | 22.95 | 0.00 | 0.00 | 65.39 | 2.3353 | 66.09 | 4.0980 | 0.00 | 0.0000 | 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Two Sigma Securities, LLC | 15.02 | 24.09 | 21.31 | 0.50 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Cboe EDGX Exchange, Inc.:

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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 |
|--|---|---|---|--|
| - | - | - | - | - |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|

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 | 66.26 | 17.19 | 15.30 | 1.25 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Hudson River Trading (Hrt) | 29.07 | 34.12 | 37.60 | 0.00 | 0.00 | 147.70 | 2.5649 | 122.29 | 6.5860 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC | 21.77 | 25.74 | 27.45 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 21.52 | 25.46 | 27.07 | 0.00 | 0.00 | 54.27 | 1.4951 | 65.43 | 5.6144 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 15.15 | 14.18 | 6.23 | 22.42 | 100.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 12.42 | 0.46 | 1.59 | 77.36 | 0.00 | -14.20 | -23.6664 | -32.14 | -22.3998 | 191.38 | 20.1262 | 0.00 | 0.0000 |

Material Aspects:

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June 2024

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|--|---|---|---|--|
|--|---|---|---|--|

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|--|---|---|---|--|
| 100.00 | 54.82 | 25.18 | 19.53 | 0.47 |

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|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Hudson River Trading (Hrt) | 28.32 | 36.53 | 32.89 | 0.05 | 0.00 | 447.94 | 4.5339 | 516.28 | 10.0100 | 0.91 | 9.5564 | 0.00 | 0.0000 |
| Jane Street Capital | 22.80 | 28.83 | 27.65 | 0.19 | 0.00 | 177.29 | 2.2337 | 300.30 | 7.1955 | 0.39 | 68.9649 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC | 21.80 | 28.09 | 25.43 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 16.35 | 0.51 | 5.64 | 74.98 | 0.00 | -22.72 | -13.4136 | -150.77 | -13.8442 | 251.40 | 12.8147 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 10.23 | 5.81 | 7.13 | 24.50 | 100.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

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June 2024

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|--|---|---|---|--|
| | | | | |

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|--|---|---|---|--|
| - | - | - | - | - |

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|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|