

Canaccord Genuity Securities - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2021

July 2021

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	45.43	13.80	39.69	1.09

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	41.09	54.95	22.47	31.25	57.14	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	26.67	0.00	3.37	66.02	0.00	0.00	0.0000	1.57	19.2635	140.70	19.2635	0.00	0.0000
Canaccord Genuity Securities	22.64	36.18	40.45	1.56	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	8.84	8.87	31.46	1.17	0.00	14.58	7.7304	24.20	7.7304	1.04	7.7304	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.

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

Canaccord Genuity Securities:

CANACCORD GENUITY LLC. (CSTI): Canaccord Genuity LLC (CG) makes a market in numerous NASDAQ listed NYSE listed NYSE ARCA listed and OTC Pink securities and may internalize non-directed customer orders in such securities. Should CG internalize non-directed customer orders in those securities in which it makes a market, CG will share in up to 100% of the profits when trading as principal with those orders. Canaccord Capital and Canaccord Genuity Corp and Canaccord Genuity Limited UK are affiliates of Canaccord Genuity LLC. CG stands to share indirectly in profits that Canaccord Capital and Canaccord Genuity Corp and Canaccord Genuity Limited derives from the execution of CG customer orders through Canaccord Capital and Canaccord Genuity Corp and Canaccord Genuity Limited UK. Canaccord Genuity LLC stands to share in 100% of whatever profits it generates by trading as principal with its customers' orders. CG may make a profit or lose money while fulfilling its market making obligations on the NASDAQ-listed NYSE listed NYSE ARCA listed and OTC Pink exchanges.

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.

July 2021

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	19.95	23.81	54.76	1.48

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.	48.44	0.41	7.93	84.86	0.00	0.86	19.2635	119.47	19.2635	799.47	19.2635	0.00	0.0000
Canaccord Genuity Securities	22.66	46.91	51.72	1.80	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	15.44	33.33	8.28	11.54	33.33	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	12.15	19.34	32.07	1.20	0.00	50.85	7.7304	129.91	7.7304	8.06	7.7304	0.00	0.0000

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Virtu Americas, LLC:
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Jane Street Capital:
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July 2021

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)

August 2021

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	32.73	6.91	52.30	8.06

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.	38.98	0.00	7.14	73.58	0.00	0.00	0.0000	3.87	19.0000	152.61	19.0000	0.00	0.0000
Virtu Americas, LLC	27.96	40.70	11.90	26.42	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Canaccord Genuity Securities	21.71	53.27	59.52	0.00	2.04	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	8.06	0.00	2.38	0.00	97.96	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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Virtu Americas, LLC:

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

Canaccord Genuity Securities:

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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.

August 2021

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	24.75	24.45	49.96	0.84

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.	47.15	0.31	13.98	87.39	0.00	0.95	19.0000	386.94	19.0000	747.28	19.0000	0.00	0.0000
Canaccord Genuity Securities	24.22	59.51	38.20	0.30	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	13.44	17.79	36.96	0.00	0.00	14.51	7.5400	186.95	7.5400	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	13.36	22.09	9.32	11.25	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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

August 2021

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)

September 2021

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	68.59	7.36	21.60	2.45

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	42.21	50.81	23.33	25.57	5.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Canaccord Genuity Securities	33.87	42.58	58.33	1.14	5.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	15.95	0.00	1.67	73.30	0.00	0.00	0.0000	2.20	22.0000	137.14	22.0000	0.00	0.0000
Jane Street Capital	5.52	6.26	16.67	0.00	0.00	34.98	7.0700	22.22	7.0700	0.00	0.0000	0.00	0.0000

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September 2021

Non-S&P 500 Stocks

Summary

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100.00	46.00	18.67	33.81	1.52

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.	31.24	0.00	13.78	84.79	0.00	0.00	0.0000	467.51	22.0000	987.47	22.0000	0.00	0.0000
Canaccord Genuity Securities	28.19	47.00	34.69	0.00	6.25	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	26.10	43.27	8.16	13.80	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	12.19	9.52	41.33	0.28	0.00	42.37	7.0700	164.88	7.0700	20.27	7.0700	0.00	0.0000

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September 2021

Options

Summary

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-	-	-	-	-

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)
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