

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

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4th Quarter, 2021

October 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 | 53.24 | 8.79 | 32.53 | 5.44 |

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 | 36.19 | 37.13 | 22.62 | 32.48 | 71.15 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Canaccord Genuity Securities | 31.49 | 51.67 | 44.05 | 0.32 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 22.38 | 0.20 | 4.76 | 67.20 | 0.00 | 0.68 | 23.0000 | 22.35 | 23.0000 | 159.44 | 23.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 8.37 | 11.00 | 28.57 | 0.00 | 0.00 | 527.47 | 88.9549 | 362.87 | 88.9549 | 0.00 | 0.0000 | 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.

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.

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

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.

October 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 | 34.96 | 27.04 | 35.78 | 2.22 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Cboe EDGX Exchange, Inc. | 31.70 | 0.21 | 8.77 | 81.57 | 3.33 | 3.50 | 23.0000 | 549.31 | 23.0000 | 2,133.48 | 23.0000 | 0.00 | 0.0000 |
| Canaccord Genuity Securities | 28.59 | 52.54 | 36.99 | 0.21 | 6.67 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 19.11 | 21.61 | 42.47 | 0.21 | 0.00 | 876.66 | 88.9549 | 5,514.70 | 88.9549 | 0.01 | 88.9549 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 18.81 | 25.64 | 9.59 | 16.77 | 56.67 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

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October 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|

November 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 | 63.30 | 7.37 | 20.91 | 8.41 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Virtu Americas, LLC | 38.78 | 35.82 | 25.00 | 34.48 | 83.81 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Canaccord Genuity Securities | 38.22 | 55.32 | 34.78 | 2.68 | 0.95 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 13.38 | 0.00 | 3.26 | 62.84 | 0.00 | 0.00 | 0.0000 | 18.37 | 16.0000 | 195.94 | 16.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 8.09 | 8.86 | 33.70 | 0.00 | 0.00 | 38.17 | 8.2900 | 69.88 | 8.2900 | 0.00 | 0.0000 | 0.00 | 0.0000 |

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November 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 | 47.10 | 20.37 | 30.60 | 1.93 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Canaccord Genuity Securities | 35.14 | 58.09 | 37.44 | 0.51 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 28.30 | 0.11 | 10.77 | 84.98 | 2.70 | 0.64 | 16.0000 | 291.26 | 16.0000 | 616.63 | 16.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 19.74 | 25.39 | 37.69 | 0.34 | 0.00 | 196.35 | 8.2900 | 306.89 | 8.2900 | 1.32 | 8.2900 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 16.14 | 16.41 | 13.33 | 13.14 | 86.49 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

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November 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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| | | | | | | | | | | | | | |

December 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 | 64.90 | 6.02 | 22.92 | 6.16 |

Venues

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|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Canaccord Genuity Securities | 41.62 | 59.89 | 42.17 | 0.00 | 3.53 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 37.93 | 33.85 | 22.89 | 38.92 | 91.76 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX Exchange, Inc. | 14.14 | 0.00 | 3.61 | 60.76 | 0.00 | 0.00 | 0.0000 | 13.20 | 12.0000 | 116.28 | 12.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 5.87 | 6.26 | 30.12 | 0.00 | 0.00 | 1,243.91 | 211.1400 | 922.51 | 211.1400 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

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|--|---|---|---|--|
| 100.00 | 40.48 | 18.41 | 35.73 | 5.37 |

Venues

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|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Cboe EDGX Exchange, Inc. | 31.56 | 0.13 | 14.16 | 80.88 | 0.00 | 0.24 | 12.0000 | 469.26 | 12.0000 | 573.78 | 12.0000 | 0.00 | 0.0000 |
| Canaccord Genuity Securities | 30.36 | 60.31 | 31.73 | 0.15 | 0.97 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Virtu Americas, LLC | 23.84 | 23.32 | 16.43 | 18.10 | 91.26 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital | 13.41 | 16.24 | 36.83 | 0.15 | 0.00 | 2,329.85 | 211.1400 | 7,677.83 | 211.1400 | 0.02 | 211.1400 | 0.00 | 0.0000 |

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

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