

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

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1st Quarter, 2023

January 2023

## 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
99.99	67.17	12.78	17.96	2.09

### 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)
Canaccord Genuity Securities	39.74	47.95	47.27	0.17	69.63	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	28.09	35.28	33.25	0.23	5.02	11,223.51	9.5876	1,775.19	9.7617	51.34	10.0036	2,786.80	9.6222
Cboe EDGX Exchange, Inc.	15.96	0.02	1.10	87.69	3.09	-0.28	-1.2175	-44.94	-10.6199	8,709.83	29.6898	0.00	0.0000
Virtu Americas, LLC	9.19	8.18	9.40	11.51	20.49	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	6.06	7.57	7.31	0.05	1.53	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

Canaccord Genuity Securities:

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:

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.:

Canaccord Genuity LLC. (CSTI) may receive a cash payment or is charged a fee for order flow on a per shares basis. The per share cash payment or fee is calculated based upon a variety of factors including, but not limited to, orders 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/](https://www.cboe.com/us/equities/membership/fee_schedule/edgx/)

Virtu Americas, LLC:

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

StoneX Financial, Inc.:  
Canaccord Genuity LLC. (CSTI) receives remuneration from StoneX for marketable shares, based on the strategy employed, with the caveat that no remuneration is made for sub-dollar shares that exceed 10% of all marketable shares.

January 2023

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
99.98	60.55	24.40	13.13	1.92

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)
Jane Street Capital	35.90	43.61	37.87	0.16	12.21	46,760.41	7.4457	16,924.00	4.9871	105.83	3.2329	4,723.82	7.2657
Canaccord Genuity Securities	21.90	26.20	22.68	0.24	24.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	16.70	15.25	20.65	13.79	31.94	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	10.37	0.01	1.57	75.32	4.60	-5.36	-2.4164	-2,598.44	-8.1333	27,357.47	15.4302	0.00	0.0000
StoneX Financial, Inc.	8.05	9.64	8.89	0.03	2.30	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	7.04	5.29	8.20	10.44	24.16	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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

January 2023

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)

February 2023

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
99.99	69.02	12.97	16.31	1.70

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)
Jane Street Capital	32.43	39.90	35.93	0.26	11.04	11,844.56	9.5760	1,917.29	9.5585	34.87	9.9731	2,685.70	9.5864
Canaccord Genuity Securities	31.59	37.07	37.79	0.11	63.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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Cboe EDGX Exchange, Inc.	14.48	0.01	0.99	87.45	4.69	0.00	0.0000	-169.44	-18.5818	8,146.01	29.6666	0.00	0.0000
StoneX Financial, Inc.	13.19	16.24	15.03	0.09	1.14	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	7.34	5.79	8.40	11.80	19.20	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:  
No material relationship exists with between CANACCORD GENUITY LLC. (CSTI) and this venue.

February 2023

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
99.99	60.88	24.33	12.95	1.84

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)
Jane Street Capital	36.02	43.50	37.48	0.38	20.03	46,580.70	7.9319	16,556.16	5.6749	86.68	1.1471	4,437.91	8.1835

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	20.57	24.32	21.78	0.15	24.44	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	14.45	17.63	14.95	0.09	3.52	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	11.11	8.71	15.31	13.01	21.54	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	9.82	0.03	1.48	72.32	4.27	-31.48	-5.6630	-4,817.90	-15.2591	33,238.14	1.7189	0.00	0.0000
Two Sigma Securities, LLC	8.01	5.82	8.90	14.04	26.21	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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Two Sigma Securities, LLC:  
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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February 2023

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)
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## March 2023

## 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
99.99	67.89	13.52	16.84	1.75

## 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)
Canaccord Genuity Securities	31.02	36.83	35.75	0.19	65.68	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	29.13	35.79	33.79	0.39	11.23	12,059.98	9.4417	2,078.65	9.5614	19.30	7.8759	2,483.41	9.3726
StoneX Financial, Inc.	16.53	20.50	18.94	0.20	1.34	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	14.84	0.01	0.94	86.87	4.81	0.00	0.0000	-236.62	-15.3831	11,184.36	29.5072	0.00	0.0000
Virtu Americas, LLC	7.28	5.65	8.46	12.04	15.78	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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March 2023

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
99.99	59.66	24.93	13.58	1.83

Venues

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Jane Street Capital	32.44	39.27	34.43	0.31	21.22	40,858.00	7.2314	17,029.86	5.5112	167.67	5.7713	4,852.65	7.1504
Canaccord Genuity Securities	20.52	24.40	22.07	0.20	23.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	17.60	21.73	18.27	0.12	3.21	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	10.86	8.52	14.86	12.69	19.17	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Cboe EDGX Exchange, Inc.	10.37	0.02	1.25	73.35	4.86	-1.86	-1.1370	-5,491.63	-15.9992	35,680.44	17.4408	0.00	0.0000
Two Sigma Securities, LLC	8.17	6.06	8.98	13.32	27.96	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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## Options

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-	-	-	-	-

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