

# American Enterprise Investment Services Inc. (AEIS) - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2024

July 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	91.07	0.13	0.86	7.94

### 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)
CITADEL SECURITIES LLC	29.07	29.06	28.76	27.51	29.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	20.02	20.00	19.03	21.03	20.10	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	17.90	17.94	18.88	17.61	17.51	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	15.33	15.36	12.73	13.37	15.20	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	9.92	9.90	11.30	11.75	9.94	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

#### CITADEL SECURITIES LLC:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

#### Two Sigma Securities, LLC:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

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Virtu Americas, LLC:

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## July 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	86.71	0.35	1.11	11.82

#### 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)
CITADEL SECURITIES LLC	35.50	35.41	32.93	33.11	36.43	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	18.38	18.38	18.21	18.16	18.45	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	16.52	16.51	15.98	15.65	16.74	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	11.80	11.79	11.30	11.45	11.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	6.89	6.87	4.68	4.76	7.32	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	5.51	5.62	12.10	11.56	3.95	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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Virtu Americas, LLC:

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**G1 Execution Services, LLC:**

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

**StoneX Financial, Inc.:**

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## July 2024

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### 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	43.96	2.29	21.20	32.54

#### 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)
Citadel Execution Services	56.25	50.47	50.23	50.97	67.93	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Dash/IMC Financial Markets	26.10	24.56	26.67	23.92	29.56	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Global Execution Brokers LP	17.65	24.97	23.11	25.11	2.51	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

#### Material Aspects:

**Citadel Execution Services:**

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**Dash/IMC Financial Markets:**

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives, or payment schedules with its Routing Venues. Dash Financial, further routes order flow to exchanges and may preference routing to unaffiliated market makers such as IMC to provide enhanced liquidity and price improvement opportunities. Dash Financial may receive remuneration from these third-party liquidity providers in relation to AEIS flow.

**Global Execution Brokers LP:**

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

# August 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	90.85	0.21	1.37	7.57

### 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)
CITADEL SECURITIES LLC	27.41	27.41	28.39	26.39	27.61	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	20.16	20.15	20.65	20.31	20.25	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	18.27	18.27	19.35	20.23	17.86	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	14.00	14.05	11.54	11.11	14.02	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	9.36	9.31	10.11	10.43	9.67	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	5.78	5.78	5.59	6.36	5.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	5.02	5.03	4.37	5.17	5.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

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#### UBS Securities, LLC:

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#### Virtu Americas, LLC:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

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## August 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	86.43	0.37	1.40	11.80

#### 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)
CITADEL SECURITIES LLC	35.35	35.25	33.60	34.14	36.33	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	18.60	18.61	17.87	18.13	18.59	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	16.50	16.42	16.19	16.45	17.06	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	9.31	9.31	10.51	8.19	9.37	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	7.65	7.67	4.90	6.58	7.69	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	6.92	6.91	4.90	5.86	7.16	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	5.24	5.36	11.76	10.57	3.60	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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## August 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
100.00	49.65	2.46	21.88	26.01

#### 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)
Citadel Execution Services	55.27	50.80	50.79	50.99	67.82	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Dash/IMC Financial Markets	26.16	25.27	25.73	24.52	29.29	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Global Execution Brokers LP	18.57	23.93	23.48	24.49	2.89	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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## September 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	90.68	0.15	1.12	8.04

#### 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)
CITADEL SECURITIES LLC	27.13	27.11	24.75	25.38	27.62	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	20.07	20.06	18.15	20.02	20.25	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	18.07	18.06	20.24	19.03	17.91	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	13.99	14.00	10.78	12.73	14.16	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	10.02	10.02	12.87	11.48	9.74	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	5.74	5.77	6.82	6.10	5.38	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

#### Material Aspects:

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## September 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	86.52	0.36	1.27	11.84

#### 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)
CITADEL SECURITIES LLC	35.11	35.05	30.87	33.39	35.87	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	18.54	18.55	17.12	18.21	18.56	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	16.34	16.28	15.47	15.73	16.89	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
G1 Execution Services, LLC	9.79	9.80	11.28	9.91	9.67	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	7.59	7.62	5.48	6.41	7.57	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Jane Street Capital	6.97	6.97	5.68	5.75	7.16	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	5.22	5.26	13.08	10.39	4.09	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

#### Material Aspects:

CITADEL SECURITIES LLC:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

Two Sigma Securities, LLC:



American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

Virtu Americas, LLC:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

G1 Execution Services, LLC:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

StoneX Financial, Inc.:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

Jane Street Capital:

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.

UBS Securities, LLC:

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## September 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
100.00	47.54	2.61	21.74	28.11

#### 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)
Citadel Execution Services	55.13	50.38	53.17	51.11	66.47	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Dash/IMC Financial Markets	26.72	25.07	23.66	24.78	31.27	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Global Execution Brokers LP	18.15	24.55	23.17	24.11	2.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

#### Material Aspects:

Citadel Execution Services:

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Dash/IMC Financial Markets:

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**Global Execution Brokers LP:**

American Enterprise Investment Services Inc. (AEIS), the clearing firm for Ameriprise Financial Services, LLC does not receive compensation, rebates or pay transaction fees for the routing of its equity or option order flow. AEIS does not engage in any profit-sharing relationships, volume-based incentives, disincentives or payment schedules with its Routing Venues.