

Nomura - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2020

October 2020

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
0.00	0.00	0.00	0.00	0.00

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)

Material Aspects:

October 2020

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
0.00	0.00	0.00	0.00	0.00

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)

Material Aspects:

October 2020

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	4.56	0.00	0.00	95.44

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)
INSTINET	86.66	1.36	0.00	0.00	98.64	59.11	2.7881	0	0.0000	0	0.0000	9,623.22	3.1141
ICAP	5.38	16.14	0.00	0.00	83.86	4,862.62	13.5596	0	0.0000	0	0.0000	17,840.02	12.9600
Lakeshore	2.44	36.63	0.00	0.00	63.37	2,627.96	53.5880	0	0.0000	0	0.0000	9,601.5	50.1070
CASY	2.08	27.91	0.00	0.00	72.09	2,826.09	15.4575	0	0.0000	0	0.0000	12,565.78	14.3593
Pyramid	0.94	33.33	0.00	0.00	66.67	531.09	60.0098	0	0.0000	0	0.0000	4,469.78	57.6821
TULLETT PREBON FINANCIAL SERVICES LLC	0.72	33.33	0.00	0.00	66.67	2,477.76	27.8400	0	0.0000	0	0.0000	2,576.56	25.3150
Baycrest	0.46	47.37	0.00	0.00	52.63	296.16	32.8706	0	0.0000	0	0.0000	1,501.35	35.9604
Oppenheimer	0.43	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	4,128.48	87.8400
DASH FINANCIAL LLC	0.22	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	157.22	20.2600
Student	0.14	100.00	0.00	0.00	0.00	463.6	11.5900	0	0.0000	0	0.0000	0	0.0000

Material Aspects:

INSTINET:

Nomura Receives rebates from Instinet

ICAP:

No material aspects to disclose

Lakeshore:

No material aspects to disclose

CASY:

No material aspects to disclose

Pyramid:

No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:

No material aspects to disclose

Baycrest:

No material aspects to disclose

Oppenheimer:

No material aspects to disclose

DASH FINANCIAL LLC:

No material aspects to disclose

Student:

No material aspects to disclose

November 2020

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
0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

November 2020

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
0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

November 2020

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	3.00	0.00	0.00	97.00

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)
INSTINET	85.60	0.37	0.00	0.00	99.63	-28.56	-0.8285	0	0.0000	0	0.0000	3,906.92	1.3673
ICAP	4.54	20.00	0.00	0.00	80.00	7,696.86	11.2535	0	0.0000	0	0.0000	8,125.73	11.2535
CASY	3.79	26.45	0.00	0.00	73.55	4,183.71	14.0961	0	0.0000	0	0.0000	10,804.14	14.7856
TULLETT PREBON FINANCIAL SERVICES LLC	1.31	7.14	0.00	0.00	92.86	2,422.08	27.8400	0	0.0000	0	0.0000	9,064.3	22.6071
Pyramid	1.25	12.50	0.00	0.00	87.50	822.17	64.8398	0	0.0000	0	0.0000	5,490.89	61.2891
Oppenheimer	1.16	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	9,062.4	82.3855
Lakeshore	0.59	42.11	0.00	0.00	57.89	2,747	54.9400	0	0.0000	0	0.0000	796.63	54.9400
DASH FINANCIAL LLC	0.38	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	120.95	20.2600
XFA	0.34	36.36	0.00	0.00	63.64	626.91	71.2400	0	0.0000	0	0.0000	434.97	68.4998
CANACCORD GENUITY INC.	0.31	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	3,883.62	39.0706

Material Aspects:

INSTINET:
Nomura receives rebates from Instinet

ICAP:
No material aspects to disclose

CASY:
No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:
No material aspects to disclose

Pyramid:
No material aspects to disclose

Oppenheimer:
No material aspects to disclose

Lakeshore:
No material aspects to disclose

DASH FINANCIAL LLC:
No material aspects to disclose

XFA:
No material aspects to disclose

CANACCORD GENUITY INC.:
No material aspects to disclose

December 2020

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
0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

December 2020

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
0.00	0.00	0.00	0.00	0.00

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)
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Material Aspects:

December 2020

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	3.37	0.00	0.00	96.63

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)
INSTINET	83.29	0.43	0.00	0.00	99.57	234.51	26.0278	0	0.0000	0	0.0000	8,752.51	3.9039
ICAP	9.22	16.83	0.00	0.00	83.17	3,799.47	13.1890	0	0.0000	0	0.0000	12,121.44	13.1890
CASY	2.13	29.17	0.00	0.00	70.83	526.85	11.0544	0	0.0000	0	0.0000	3,726.22	15.2327
Pyramid	1.15	26.92	0.00	0.00	73.08	1,627.24	64.2924	0	0.0000	0	0.0000	1,441.1	64.9436
Oppenheimer	0.93	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	7,174.64	85.9238
TULLETT PREBON FINANCIAL SERVICES LLC	0.80	22.22	0.00	0.00	77.78	4,454.4	27.8400	0	0.0000	0	0.0000	6,248.53	15.6038
TRADITION SECURITIES AND DERIVATIVES INC.	0.75	41.18	0.00	0.00	58.82	695.2	69.5200	0	0.0000	0	0.0000	1,135.42	49.3661
Lakeshore	0.71	6.25	0.00	0.00	93.75	1,098.8	54.9400	0	0.0000	0	0.0000	768.23	52.9448
DASH FINANCIAL LLC	0.44	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	65.64	20.2600
TJM INVESTMENTS, LLC	0.18	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	112.64	65.4900

Material Aspects:

INSTINET:

Nomura receives rebates from Instinet

ICAP:

No material aspects to disclose

CASY:

No material aspects to disclose

Pyramid:

No material aspects to disclose

Oppenheimer:

No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:

No material aspects to disclose

TRADITION SECURITIES AND DERIVATIVES INC.:

No material aspects to disclose

Lakeshore:

No material aspects to disclose

DASH FINANCIAL LLC:

No material aspects to disclose

TJM INVESTMENTS, LLC:

No material aspects to disclose