

Nomura - Held NMS Stocks and Options Order Routing Public Report

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2nd Quarter, 2021

April 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
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:

April 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
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:

April 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
100.00	4.29	0.00	0.00	95.71

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	92.39	2.53	0.00	0.00	97.47	155.88	21.2951	0	0.0000	0	0.0000	28,916.2	10.2101
ICAP	2.85	22.05	0.00	0.00	77.95	5,372.68	12.9910	0	0.0000	0	0.0000	8,372.29	12.9910
CASY	2.25	33.00	0.00	0.00	67.00	4,882.61	16.1163	0	0.0000	0	0.0000	13,795.5	13.5066
Pyramid	0.81	16.67	0.00	0.00	83.33	75.73	65.2810	0	0.0000	0	0.0000	5,002.58	55.4732
TULLETT PREBON FINANCIAL SERVICES LLC	0.54	58.33	0.00	0.00	41.67	15,674.4	27.8656	0	0.0000	0	0.0000	7,341.14	33.4982
TRADITION SECURITIES AND DERIVATIVES INC.	0.49	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	4,905.49	53.7823
Lakeshore	0.25	36.36	0.00	0.00	63.64	1,853.13	54.9400	0	0.0000	0	0.0000	461.5	54.9400
Oppenheimer	0.25	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	1,647	87.8400
CORNERSTONE MACRO LLC	0.07	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	847.04	141.1733
CANACCORD GENUITY INC.	0.04	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	926.15	46.3074

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

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

Oppenheimer:
No Material Aspects to Disclose

CORNERSTONE MACRO LLC:
No Material Aspects to Disclose

May 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
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:

May 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
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:

May 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
100.00	3.47	0.00	0.00	96.53

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	88.63	0.98	0.00	0.00	99.02	132	55.0000	0	0.0000	0	0.0000	32,375.58	10.2826
ICAP	4.68	11.92	0.00	0.00	88.08	2,592.91	11.7114	0	0.0000	0	0.0000	9,155.39	11.7114
CASY	3.28	41.51	0.00	0.00	58.49	8,239.92	14.1281	0	0.0000	0	0.0000	13,060.82	13.1990
Pyramid	1.08	22.86	0.00	0.00	77.14	402.76	65.4900	0	0.0000	0	0.0000	2,287.19	63.7989
Lakeshore	0.93	26.67	0.00	0.00	73.33	12,086.8	54.9400	0	0.0000	0	0.0000	682.07	48.3397
TULLETT PREBON FINANCIAL SERVICES LLC	0.40	30.77	0.00	0.00	69.23	1,274.38	23.5429	0	0.0000	0	0.0000	1,865.2	22.7881
Oppenheimer	0.25	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	1,124.35	87.8400
E D & F MAN CAPITAL MARKETS INC.	0.12	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	1,042.72	37.2400
XFA	0.12	50.00	0.00	0.00	50.00	49.87	71.2400	0	0.0000	0	0.0000	3.2	22.8400
CANACCORD GENUITY INC.	0.09	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	879.84	46.3074

Material Aspects:

INSTINET:

Nomura Received Rebates From Instinet

ICAP:

No Material Aspects to Disclose

CASY:

No Material Aspects to Disclose

Pyramid:

No Material Aspects to Disclose

Lakeshore:

No Material Aspects to Disclose

TULLETT PREBON FINANCIAL SERVICES LLC:

No Material Aspects to Disclose

Oppenheimer:

No Material Aspects to Disclose

E D & F MAN CAPITAL MARKETS INC.:

No Material Aspects to Disclose

XFA:

No Material Aspects to Disclose

CANACCORD GENUITY INC.:

No Material Aspects to Disclose

June 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
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:

June 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
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:

June 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
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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	2.92	0.00	0.00	97.08

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	91.31	0.22	0.00	0.00	99.78	0.06	6.0000	0	0.0000	0	0.0000	34,197.49	11.7848
ICAP	4.08	26.51	0.00	0.00	73.49	6,293.78	12.0957	0	0.0000	0	0.0000	8,962.58	12.0957
CASY	2.46	33.00	0.00	0.00	67.00	6,006.95	13.5686	0	0.0000	0	0.0000	7,811	13.5516
Lakeshore	0.71	72.41	0.00	0.00	27.59	2,919.36	42.3096	0	0.0000	0	0.0000	494.46	54.9400
Pyramid	0.47	5.26	0.00	0.00	94.74	5.77	41.2400	0	0.0000	0	0.0000	3,588.19	62.3708
DASH FINANCIAL LLC	0.37	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	372.58	20.2600
TRADITION SECURITIES AND DERIVATIVES INC.	0.25	100.00	0.00	0.00	0.00	1,473.48	46.0463	0	0.0000	0	0.0000	0	0.0000
XFA	0.10	25.00	0.00	0.00	75.00	178.1	71.2400	0	0.0000	0	0.0000	7,119.01	71.2400
Baycrest	0.07	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	1,387.36	36.4518
Oppenheimer	0.07	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	395.28	87.8400

Material Aspects:

INSTINET:
Nomura Receives Rebates From Instinet

ICAP:
No Material Aspects to Disclose

CASY:
No Material Aspects to Disclose

Lakeshore:
No Material Aspects to Disclose

Pyramid:
No Material Aspects to Disclose

DASH FINANCIAL LLC:
No Material Aspects to Disclose

TRADITION SECURITIES AND DERIVATIVES INC.:
No Material Aspects to Disclose

XFA:
No Material Aspects to Disclose

Baycrest:
No Material Aspects to Disclose

Oppenheimer:
No Material Aspects to Disclose