

# Nomura - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2021

July 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:

July 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:

July 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	3.89	14.24	6.99	74.88

### 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	85.76	0.88	14.45	7.47	77.20	438.33	32.4685	3,639.82	5.7318	-1,170.78	-6.6730	14,819.77	6.4411
ICAP	5.23	32.62	10.70	2.14	54.55	10,334.54	12.0846	1,286.29	12.0846	100.91	12.0846	9,748.79	12.0846
CASY	3.13	19.64	16.96	0.00	63.39	3,370.15	14.0330	1,541.86	15.4806	0	0.0000	13,921.62	15.0709
Pyramid	2.18	24.36	20.51	12.82	42.31	610.71	65.3862	1,565.17	63.5217	773.24	47.2063	1,026	56.2500
MAXIM	1.76	0.00	9.52	9.52	80.95	0	0.0000	169.47	57.8400	169.47	57.8400	5,114.79	57.8400
Lakeshore	0.67	0.00	4.17	0.00	95.83	0	0.0000	54.94	54.9400	0	0.0000	697.54	54.7516
DASH FINANCIAL LLC	0.39	0.00	14.29	0.00	85.71	0	0.0000	40.52	20.2600	0	0.0000	287.49	20.2600
TULLETT PREBON FINANCIAL SERVICES LLC	0.39	42.86	0.00	0.00	57.14	1,340	21.4400	0	0.0000	0	0.0000	7,223.41	53.0353
CANACCORD GENUITY INC.	0.14	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	2,884.78	33.6104
TRADITION SECURITIES AND DERIVATIVES INC.	0.11	50.00	25.00	0.00	25.00	784	7.8400	498.68	71.2400	0	0.0000	1,498.8	74.9400

### 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

MAXIM:  
No material aspects to disclose

Lakeshore:  
No material aspects to disclose

DASH FINANCIAL LLC:  
No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:  
No material aspects to disclose

CANACCORD GENUITY INC.:

No material aspects to disclose

TRADITION SECURITIES AND DERIVATIVES INC.:

No material aspects to disclose

## August 2021

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### 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:

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## August 2021

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### 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:

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## August 2021

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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	4.38	0.00	0.00	95.62

## 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	1.65	0.00	0.00	98.35	1,090.52	31.9521	0	0.0000	0	0.0000	27,125.94	8.5726
ICAP	6.11	18.58	0.00	0.00	81.42	3,148.67	12.4272	0	0.0000	0	0.0000	22,470.95	12.4272
CASY	3.08	27.19	0.00	0.00	72.81	4,947.9	13.7053	0	0.0000	0	0.0000	14,647.31	15.1713
Pyramid	1.35	24.00	0.00	0.00	76.00	234.29	62.1452	0	0.0000	0	0.0000	3,564.04	58.6287
MAXIM	0.81	13.33	0.00	0.00	86.67	4.63	57.8400	0	0.0000	0	0.0000	184.51	57.8400
XFA	0.73	25.93	0.00	0.00	74.07	3,650.34	71.2400	0	0.0000	0	0.0000	2,809.62	63.8986
TULLETT PREBON FINANCIAL SERVICES LLC	0.70	42.31	0.00	0.00	57.69	11,292.7	57.4400	0	0.0000	0	0.0000	39,534.59	49.0017
DASH FINANCIAL LLC	0.22	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	725.71	20.2600
CANACCORD GENUITY INC.	0.11	50.00	0.00	0.00	50.00	208.38	46.3074	0	0.0000	0	0.0000	270.74	27.0737
PTR	0.11	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	343.59	68.7188

## 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

MAXIM:

No material aspects to disclose

XFA:

No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:

No material aspects to disclose

DASH FINANCIAL LLC:

No material aspects to disclose

CANACCORD GENUITY INC.:

No material aspects to disclose

PTR:

No material aspects to disclose

## September 2021

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### 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:

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## September 2021

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### 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:

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## September 2021

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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

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	3.32	21.20	6.99	68.50

#### 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	87.81	0.62	22.26	7.60	69.52	1,063.35	15.1799	20,126.43	18.7332	346.54	1.9954	23,101.85	7.0257
ICAP	5.00	13.29	8.09	0.00	78.61	3,946.68	13.5495	1,065.94	13.5495	0	0.0000	12,885.8	13.5495
CASY	3.52	31.97	19.67	1.64	46.72	4,953.71	15.2206	863.5	13.3607	78.4	7.8400	7,299.09	12.6219
Pyramid	1.47	29.41	15.69	11.76	43.14	490.57	64.9761	1,853.61	64.8117	384.43	65.4900	5,412.21	55.1197
TULLETT PREBON FINANCIAL SERVICES LLC	0.66	17.39	47.83	4.35	30.43	913.6	22.8400	8,066.98	51.2157	31.17	28.3400	6,657.45	39.9008
MAXIM	0.46	0.00	0.00	0.00	100.00	0	0.0000	0	0.0000	0	0.0000	666.9	57.8400
XFA	0.26	66.67	0.00	0.00	33.33	219.04	70.6594	0	0.0000	0	0.0000	465.2	71.2400
TRADITION SECURITIES AND DERIVATIVES INC.	0.23	62.50	0.00	0.00	37.50	1,626.56	47.8400	0	0.0000	0	0.0000	329.15	16.5900
Lakeshore	0.20	28.57	0.00	14.29	57.14	1.31	32.8400	0	0.0000	157.23	34.9400	824.1	54.9400
TFS	0.14	40.00	0.00	0.00	60.00	870.13	43.5067	0	0.0000	0	0.0000	2,827.93	43.5067

#### 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

MAXIM:

No material Aspects to disclose

XFA:

No material Aspects to disclose

TRADITION SECURITIES AND DERIVATIVES INC.:

No material Aspects to disclose

Lakeshore:

No material Aspects to disclose

TFS:

No material Aspects to disclose