

Nomura - Held NMS Stocks and Options Order Routing Public Report

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2nd Quarter, 2022

April 2022

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 2022

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 2022

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	3.81	56.52	39.37	0.30

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	87.62	0.13	58.60	41.28	0.00	0	0.0000	-16,574.37	-6.6485	1,826.98	1.0477	0	0.0000
CASY	5.42	35.35	36.87	26.26	1.52	-21,813.94	-13.2991	-10,840.02	-13.8754	-5,776.64	-8.2183	-984.59	-13.6143
ICAP	4.58	19.76	50.30	25.15	4.79	-8,637.42	-13.4514	-7,426.12	-13.4514	-2,737.36	-13.4514	-567.92	-13.4514
Pyramid	1.56	38.60	33.33	28.07	0.00	-2,676.43	-65.4544	-1,495.14	-65.4900	-398.96	-61.9504	0	0.0000
XFA	0.44	50.00	25.00	25.00	0.00	-589.15	-71.2400	-975.99	-71.2400	-581.17	-70.8741	0	0.0000
MAXIM	0.14	0.00	100.00	0.00	0.00	0	0.0000	-129.32	-34.5780	0	0.0000	0	0.0000
TULLETT PREBON FINANCIAL SERVICES LLC	0.08	33.33	33.33	33.33	0.00	-222.72	-27.8400	-1,392	-27.8400	-139.2	-27.8400	0	0.0000
Baycrest	0.05	0.00	50.00	50.00	0.00	0	0.0000	-110.98	-69.3604	-110.98	-69.3604	0	0.0000
CANACCORD GENUITY INC.	0.05	50.00	0.00	50.00	0.00	-231.54	-46.3074	0	0.0000	-74.55	-46.3074	0	0.0000
DASH FINANCIAL LLC	0.03	0.00	100.00	0.00	0.00	0	0.0000	-61.59	-20.2600	0	0.0000	0	0.0000

Material Aspects:

INSTINET:

Nomura receives rebates from Instinet

CASY:

No material aspects to disclose

ICAP:

No material aspects to disclose

Pyramid:

No material aspects to disclose

XFA:

No material aspects to disclose

MAXIM:

No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:

No material aspects to disclose

Baycrest:

No material aspects to disclose

CANACCORD GENUITY INC.:

No material aspects to disclose

DASH FINANCIAL LLC:

Nomura may receive rebates from Dash

May 2022

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 2022

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 2022

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	3.82	38.80	22.15	35.24

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	89.09	0.49	41.22	23.71	34.58	0.84	14.0000	-11,349.69	-6.3888	1,657.53	1.8431	-12,951.18	-7.8108
CASY	6.20	29.75	13.64	3.31	53.31	-16,603	-15.3962	-8,644.94	-11.8105	-576.4	-7.9252	-19,655.6	-12.0446
ICAP	2.30	37.78	31.11	15.56	15.56	-6,654.12	-11.6872	-4,524.12	-11.6872	-6,027.92	-11.6872	-2,189.72	-11.6872
Pyramid	1.33	11.54	23.08	21.15	44.23	-1,603.2	-65.4900	-2,106.89	-54.3853	-1,351.28	-55.7460	-2,331.67	-61.9466
TULLETT PREBON FINANCIAL SERVICES LLC	0.46	61.11	5.56	22.22	11.11	-21,309.31	-26.5921	-27.84	-27.8400	-2,562.4	-23.2945	-867.22	-27.8400
XFA	0.44	47.06	17.65	11.76	23.53	-592	-71.2400	-605.54	-71.2400	-156.73	-71.2400	-113.61	-66.8282
CANACCORD GENUITY INC.	0.05	50.00	50.00	0.00	0.00	-27.44	-7.8400	-0.46	-46.3074	0	0.0000	0	0.0000
DASH FINANCIAL LLC	0.05	0.00	50.00	0.00	50.00	0	0.0000	-101.3	-20.2600	0	0.0000	-303.9	-20.2600
MAXIM	0.05	0.00	50.00	50.00	0.00	0	0.0000	-29.5	-57.8400	-29.5	-57.8400	0	0.0000
E D & F MAN CAPITAL MARKETS INC.	0.03	0.00	100.00	0.00	0.00	0	0.0000	-186.2	-37.2400	0	0.0000	0	0.0000

Material Aspects:

INSTINET:
Nomura receives rebates from Instinet

CASY:
No material aspects to disclose

ICAP:
No material aspects to disclose

Pyramid:
No material aspects to disclose

TULLETT PREBON FINANCIAL SERVICES LLC:
No material aspects to disclose

XFA:
No material aspects to disclose

CANACCORD GENUITY INC.:
No material aspects to disclose

DASH FINANCIAL LLC:
Nomura may receive rebates from Dash

MAXIM:
No material aspects to disclose

E D & F MAN CAPITAL MARKETS INC.:
No material aspects to disclose

June 2022

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:

June 2022

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:

June 2022

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	4.39	75.71	19.41	0.50

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	88.18	0.26	78.74	21.00	0.00	0	0.0000	-14,494.02	-4.0134	-668.04	-0.9831	0	0.0000
CASY	6.11	27.03	64.32	4.86	3.78	-11,709.37	-13.4660	-18,177.79	-10.8374	-1,537.46	-9.2546	-574.35	-15.7746
ICAP	2.90	42.05	42.05	6.82	9.09	-11,221.47	-11.4670	-12,907.14	-11.4238	-4,085.8	-11.5070	-563.73	-11.5070
Pyramid	1.35	43.90	34.15	21.95	0.00	-2,727	-65.4900	-1,877.66	-59.9892	-849.41	-65.4900	0	0.0000
TULLETT PREBON FINANCIAL SERVICES LLC	0.59	66.67	16.67	16.67	0.00	-9,203.44	-19.7499	-2,234.44	-27.8400	-1,814.93	-24.0995	0	0.0000
MAXIM	0.46	7.14	92.86	0.00	0.00	-433.8	-57.8400	-549.48	-57.8400	0	0.0000	0	0.0000
XFA	0.30	88.89	11.11	0.00	0.00	-193.06	-68.7048	-25.65	-71.2400	0	0.0000	0	0.0000
Baycrest	0.07	0.00	100.00	0.00	0.00	0	0.0000	-647.29	-35.9604	0	0.0000	0	0.0000
DASH FINANCIAL LLC	0.03	0.00	100.00	0.00	0.00	0	0.0000	-21.88	-20.2600	0	0.0000	0	0.0000

Material Aspects:

INSTINET:
Nomura receives rebates from Instinet

CASY:
No material aspects to disclose

ICAP:
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

Baycrest:
No material aspects to disclose

DASH FINANCIAL LLC:
Nomura may receive rebates from Dash