

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

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1st Quarter, 2021

January 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
1.12	30.33	7.47	57.97	4.23

### 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)
Canaccord Genuity Securities	57.29	98.41	16.57	40.68	61.86	3,644.98	8.5064	76.60	5.1755	313.03	5.1029	366.84	8.9493
CODA MARKETS INC	34.00	0.04	62.79	48.41	29.19	0.00	0.0000	24.82	0.2872	4,137.46	24.5957	452.50	17.3533
Speedroute, LLC	8.25	0.74	20.37	10.62	8.33	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Lampost Capital, L.C. [LAMP]	0.45	0.81	0.25	0.28	0.62	22.59	2.5000	6.76	3.8037	17.80	10.9824	2.04	6.5843
Maxim Group LLC	0.01	0.01	0.02	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

### Material Aspects:

Canaccord Genuity Securities:

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January 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
0.35	27.67	14.39	53.58	4.36

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)
Canaccord Genuity Securities	48.21	88.17	33.03	29.28	77.40	7,981.90	8.1976	4,292.50	1.9045	3,870.69	6.9398	954.07	8.6422
CODA MARKETS INC	36.70	0.12	49.56	53.92	14.73	0.00	0.0000	201.83	0.4708	11,304.91	23.3295	301.73	16.2603
Speedroute, LLC	13.27	8.22	16.44	15.69	5.22	-177.95	-0.9233	-558.25	-2.4066	-521.95	-1.4910	0.00	0.0000
Lampost Capital, L.C. [LAMP]	1.82	3.50	0.96	1.11	2.65	159.93	1.7056	1.76	0.0659	177.29	2.3740	-22.63	-1.4402

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January 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
46.76	12.50	8.71	76.70	2.10

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)
Maxim Group LLC	50.09	60.00	53.85	47.96	53.19	156.48	12.0000	150.48	12.0000	259.80	12.0000	1.92	12.0000
Lampost Capital, L.C. [LAMP]	49.91	40.00	46.15	52.04	46.81	100.32	12.0000	114.60	12.0000	354.00	12.0000	18.00	12.0000

#### Material Aspects:

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## February 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
1.19	30.92	8.20	55.87	5.01

#### 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)
Canaccord Genuity Securities	64.58	99.24	29.51	50.31	67.11	4,229.85	8.3369	550.99	9.1198	676.56	6.6456	723.52	8.7188
CODA MARKETS INC	26.59	0.02	49.67	38.02	25.27	0.00	0.0000	20.38	0.1609	2,947.78	24.4831	473.47	13.4062
Speedroute, LLC	8.51	0.25	20.54	11.44	7.12	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Lampost Capital, L.C. [LAMP]	0.32	0.49	0.28	0.21	0.49	8.09	2.4577	4.50	2.7795	28.13	20.5587	0.92	3.5978
Maxim Group LLC	0.01	0.00	0.01	0.02	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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February 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
0.37	29.18	14.25	53.05	3.52

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)
Canaccord Genuity Securities	48.07	90.36	28.38	27.70	84.15	11,896.74	8.6933	17,535.58	15.4331	14,675.42	24.9052	597.38	9.3426
CODA MARKETS INC	36.28	0.02	52.22	53.75	8.86	0.00	0.0000	161.93	0.3700	13,177.92	23.5771	94.85	12.9781
Speedroute, LLC	14.25	7.00	18.56	17.71	4.58	-317.41	-0.7151	-512.89	-0.9317	611.47	1.4493	0.00	0.0000
Lampost Capital, L.C. [LAMP]	1.41	2.62	0.84	0.83	2.42	251.88	1.9973	117.78	4.2771	504.05	18.3897	7.68	2.4547

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February 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
54.41	12.01	13.48	70.44	4.06

### 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(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
Lampost Capital, L.C. [LAMP]	51.51	31.29	49.04	54.85	61.70	82.92	12.0000	79.20	12.0000	314.88	12.0000	23.28	12.0000
Maxim Group LLC	48.49	68.71	50.96	45.15	38.30	109.20	12.0000	94.56	12.0000	189.24	12.0000	12.12	12.0000

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## March 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
1.34	30.84	9.18	56.00	3.98

### 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(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
Canaccord Genuity Securities	77.17	99.34	47.72	69.96	74.67	3,877.23	7.6366	348.75	7.0845	902.15	5.7395	639.68	7.9985
CODA MARKETS INC	14.89	0.04	36.32	19.49	15.87	0.00	0.0000	14.13	0.1721	1,326.58	24.3880	215.63	7.2707
Speedroute, LLC	7.66	0.19	15.78	10.35	8.97	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Lampost Capital, L.C. [LAMP]	0.27	0.43	0.15	0.19	0.49	8.51	2.1770	0.25	2.4709	25.85	19.7866	0.43	1.9166
Maxim Group LLC	0.01	0.00	0.03	0.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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March 2021

Non-S&P 500 Stocks  
Summary

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0.29	28.86	15.07	52.91	3.16

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)
Canaccord Genuity Securities	52.01	92.76	34.98	32.80	82.57	8,714.50	8.4155	3,698.15	1.2798	4,256.98	8.2979	688.25	8.0565
CODA MARKETS INC	34.36	0.06	51.50	49.77	7.99	0.00	0.0000	109.23	0.2680	11,156.90	23.7937	118.52	11.2434
Speedroute, LLC	12.19	4.77	12.68	16.48	5.76	-122.91	-0.3970	-365.70	-1.7220	477.24	1.9927	0.00	0.0000
Lampost Capital, L.C. [LAMP]	1.44	2.41	0.83	0.95	3.68	133.64	1.9439	23.57	1.3577	255.84	15.3759	14.24	2.6938

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March 2021

Options  
Summary

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69.30	11.57	17.15	68.62	2.67

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)
Maxim Group LLC	51.65	58.38	49.90	50.83	54.55	102.84	12.0000	172.68	12.0000	154.56	12.0000	8.64	12.0000
Lampost Capital, L.C. [LAMP]	48.35	41.62	50.10	49.17	45.45	88.08	12.0000	98.16	12.0000	181.44	12.0000	4.44	12.0000

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