

FINTRUST BROKERAGE SERVICES, LLC - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2021

July 2021

S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
81	100	68	83.95	7	8.64	6	7.41	0	0

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
Citadel Securities LLC(CDRG)	35	28.23	33	48.53	2	25	0	0	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	29	23.39	0	0	1	12.5	28	59.57	0	0	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	17	13.71	0	0	2	25	15	31.91	0	0	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	16	12.9	16	23.53	0	0	0	0	0	0	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	11	8.87	8	11.76	3	37.5	0	0	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	7	5.65	7	10.29	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	4	3.23	0	0	0	0	4	8.51	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	2	1.61	2	2.94	0	0	0	0	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	2	1.61	2	2.94	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Instinet BlockCross(BLXX)	1	0.81	0	0	0	0	0	0	1	100	0	0	0	0	0	0	0	0

July 2021

Non S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
124	100	110	88.71	1	0.81	9	7.26	4	3.23

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
Citadel Securities LLC(CDRG)	52	37.96	49	44.55	0	0	1	4.55	2	50	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	31	22.63	29	26.36	0	0	0	0	2	50	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	24	17.52	24	21.82	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	9	6.57	0	0	0	0	9	40.91	0	0	0	0	0	0	0	0	0	0
NYSE Arca(ARCA)	7	5.11	0	0	0	0	7	31.82	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	5	3.65	0	0	0	0	5	22.73	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	3	2.19	2	1.82	1	100	0	0	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	3	2.19	3	2.73	0	0	0	0	0	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	3	2.19	3	2.73	0	0	0	0	0	0	0	0	0	0	0	0	0	0

July 2021

Option Contracts

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
30	100	18	60	4	13.33	8	26.67	0	0

Venues

August 2021

Non-S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
269	100	266	98.88	0	0	3	1.12	0	0

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
Citadel Securities LLC(CDRG)	154	56.62	154	57.89	0	0	0	0	0	0	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	54	19.85	54	20.3	0	0	0	0	0	0	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	40	14.71	40	15.04	0	0	0	0	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	9	3.31	9	3.38	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	7	2.57	7	2.63	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Instinet BlockCross(BLXX)	3	1.1	0	0	0	0	0	0	3	100	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	3	1.1	0	0	0	0	0	3	100	0	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	2	0.74	2	0.75	0	0	0	0	0	0	0	0	0	0	0	0	0	0

August 2021

Option Contracts

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
15	100	9	60	1	6.67	5	33.33	0	0

NASDAQ Execution Services, LLC(NSDQ)	5	2.96	0	0	0	0	5	15.63	0	0	0	0	0	0	0	0	0	0	0
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Two Sigma Securities, LLC(SOHO)	5	2.96	5	3.73	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
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September 2021

Non-S&P 500 Stocks

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
349	100	345	98.85	0	0	4	1.15	0	0

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
Citadel Securities LLC(CDRG)	176	49.03	176	51.01	0	0	0	0	0	0	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	90	25.07	90	26.09	0	0	0	0	0	0	0	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	51	14.21	51	14.78	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	14	3.9	14	4.06	0	0	0	0	0	0	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	13	3.62	13	3.77	0	0	0	0	0	0	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	10	2.79	0	0	0	0	10	76.92	0	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	3	0.84	0	0	0	0	3	23.08	0	0	0	0	0	0	0	0	0	0
Instinet BlockCross(BLXX)	1	0.28	0	0	0	0	0	0	1	100	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	1	0.28	1	0.29	0	0	0	0	0	0	0	0	0	0	0	0	0	0

September 2021

Option Contracts

Summary

