

Equity Services, Inc. - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2020

October 2020

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
797	100	628	78.8	8	1	55	6.9	106	13.3

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)
Citadel Securities LLC(CDRG)	416	47.17	334	53.18	4	44.44	17	12.23	61	57.55	0	0
VIRTU Americas LLC(NITE)	240	27.21	190	30.25	3	33.33	9	6.47	38	35.85	0	0
NASDAQ Execution Services, LLC(NSDQ)	71	8.05	1	0.16	1	11.11	69	49.64	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	53	6.01	49	7.8	0	0	4	2.88	0	0	0	0
G1 Execution Services, LLC(ETMM)	51	5.78	43	6.85	1	11.11	2	1.44	5	4.72	0	0
New York Stock Exchange(NYSE)	38	4.31	0	0	0	0	38	27.34	0	0	0	0

Two Sigma Securities, LLC(SOHO)	8	0.91	7	1.11	0	0	0	0	1	0.94	0	0
UBS Securities, LLC(UBSS)	5	0.57	4	0.64	0	0	0	0	1	0.94	0	0

Material Aspects:

October 2020

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
2572	100	2409	93.66	7	0.27	106	4.12	50	1.94

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)
Citadel Securities LLC(CDRG)	1313	49.18	1255	52.01	6	75	13	6.63	39	73.58	0	0
VIRTU Americas LLC(NITE)	819	30.67	797	33.03	0	0	15	7.65	7	13.21	0	0
JANE STREET CAPITAL, LLC(JNST)	154	5.77	153	6.34	0	0	1	0.51	0	0	0	0
G1 Execution Services, LLC(ETMM)	150	5.62	145	6.01	1	12.5	2	1.02	2	3.77	0	0
NASDAQ Execution Services, LLC(NSDQ)	82	3.07	0	0	1	12.5	81	41.33	0	0	0	0

Two Sigma Securities, LLC(SOHO)	52	1.95	51	2.11	0	0	1	0.51	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	47	1.76	0	0	0	0	47	23.98	0	0	0	0
New York Stock Exchange(NYSE)	23	0.86	0	0	0	0	23	11.73	0	0	0	0
NYSE Arca(ARCA)	12	0.45	0	0	0	0	12	6.12	0	0	0	0
UBS Securities, LLC(UBSS)	10	0.37	8	0.33	0	0	0	0	2	3.77	0	0

Material Aspects:

October 2020

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
25	100	4	16	5	20	16	64	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)
Citadel Securities LLC(CDRG)	12	48	0	0	3	60	9	56.25	0	0	0	0
Dash Financial Technologies LLC(DASH)	4	16	2	50	0	0	2	12.5	0	0	0	0

NASDAQ Execution Services, LLC(NSDQ)	33	5.11	0	0	0	0	33	29.46	0	0	0	0
Two Sigma Securities, LLC(SOHO)	13	2.01	12	2.27	1	100	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	4	0.62	0	0	0	0	4	3.57	0	0	0	0
Instinet BlockCross(BLXX)	1	0.15	0	0	0	0	0	0	1	25	0	0
UBS Securities, LLC(UBSS)	1	0.15	1	0.19	0	0	0	0	0	0	0	0

Material Aspects:

November 2020

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
2404	100	2225	92.55	16	0.67	157	6.53	6	0.25

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)
Citadel Securities LLC(CDRG)	1216	46.5	1173	52.77	3	18.75	36	9.94	4	28.57	0	0
VIRTU Americas LLC(NITE)	713	27.27	676	30.41	11	68.75	24	6.63	2	14.29	0	0

JANE STREET CAPITAL, LLC(JNST)	184	7.04	178	8.01	1	6.25	5	1.38	0	0	0	0
G1 Execution Services, LLC(ETMM)	139	5.32	137	6.16	1	6.25	1	0.28	0	0	0	0
NYSE Arca(ARCA)	105	4.02	0	0	0	0	105	29.01	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	83	3.17	0	0	0	0	83	22.93	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	62	2.37	0	0	0	0	62	17.13	0	0	0	0
Two Sigma Securities, LLC(SOHO)	50	1.91	50	2.25	0	0	0	0	0	0	0	0
Cboe BZX U.S. Equities Exchange(BATS)	25	0.96	0	0	0	0	25	6.91	0	0	0	0
New York Stock Exchange(NYSE)	20	0.76	0	0	0	0	20	5.52	0	0	0	0

Material Aspects:

November 2020

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
72	100	9	12.5	5	6.94	58	80.56	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)
Citadel Securities LLC(CDRG)	31	44.29	3	42.86	0	0	28	48.28	0	0	0	0
Dash Financial Technologies LLC(DASH)	16	22.86	2	28.57	2	40	12	20.69	0	0	0	0
Wolverine Execution Services LLC(WEXX)	15	21.43	0	0	0	0	15	25.86	0	0	0	0
Susquehanna Capital Group(SUSQ)	6	8.57	2	28.57	3	60	1	1.72	0	0	0	0
Morgan Stanley & Company LLC(MSCO)	2	2.86	0	0	0	0	2	3.45	0	0	0	0

Material Aspects:

December 2020

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
475	100	399	84	13	2.74	59	12.42	4	0.84

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)
Citadel Securities LLC(CDRG)	250	37.59	218	54.64	5	38.46	25	10.04	2	50	0	0
VIRTU Americas LLC(NITE)	135	20.3	115	28.82	5	38.46	13	5.22	2	50	0	0
NASDAQ Execution Services, LLC(NSDQ)	118	17.74	0	0	0	0	118	47.39	0	0	0	0
New York Stock Exchange(NYSE)	81	12.18	0	0	0	0	81	32.53	0	0	0	0
G1 Execution Services, LLC(ETMM)	31	4.66	27	6.77	1	7.69	3	1.2	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	31	4.66	28	7.02	2	15.38	1	0.4	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	8	1.2	0	0	0	0	8	3.21	0	0	0	0
Two Sigma Securities, LLC(SOHO)	7	1.05	7	1.75	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	4	0.6	4	1	0	0	0	0	0	0	0	0

Material Aspects:

December 2020

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
2406	100	2230	92.68	22	0.91	146	6.07	8	0.33

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)
Citadel Securities LLC(CDRG)	1247	48.45	1213	54.42	9	39.13	21	6.95	4	20	0	0
VIRTU Americas LLC(NITE)	694	26.96	661	29.65	6	26.09	26	8.61	1	5	0	0
JANE STREET CAPITAL, LLC(JNST)	170	6.6	164	7.36	2	8.7	4	1.32	0	0	0	0
G1 Execution Services, LLC(ETMM)	132	5.13	127	5.7	1	4.35	4	1.32	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	92	3.57	0	0	1	4.35	91	30.13	0	0	0	0
New York Stock Exchange(NYSE)	57	2.21	0	0	1	4.35	56	18.54	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	56	2.18	0	0	0	0	56	18.54	0	0	0	0
Two Sigma Securities, LLC(SOHO)	56	2.18	51	2.29	0	0	3	0.99	2	10	0	0
NYSE Arca(ARCA)	41	1.59	0	0	2	8.7	39	12.91	0	0	0	0
UBS Securities, LLC(UBSS)	15	0.58	13	0.58	1	4.35	0	0	1	5	0	0

Material Aspects:

December 2020

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
120	100	20	16.67	4	3.33	96	80	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)
Citadel Securities LLC(CDRG)	63	47.73	9	45	1	25	53	49.07	0	0	0	0
Wolverine Execution Services LLC(WEXX)	29	21.97	2	10	1	25	26	24.07	0	0	0	0
Dash Financial Technologies LLC(DASH)	20	15.15	1	5	0	0	19	17.59	0	0	0	0
Susquehanna Capital Group(SUSQ)	12	9.09	6	30	2	50	4	3.7	0	0	0	0
Morgan Stanley & Company LLC(MSCO)	8	6.06	2	10	0	0	6	5.56	0	0	0	0

Material Aspects:

0	0	0	0	0	0
0	0	0	0	0	0

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)
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

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)
0	0	0	0	0	0
0	0	0	0	0	0

0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

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)
0	0	0	0	0	0
0	0	0	0	0	0

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)
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0

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)
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0
0	0	0	0	0	0