

AXOS - 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
100.00	78.69	2.69	7.83	10.80

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)
UBS Securities, LLC	27.15	26.97	23.73	22.97	32.35	216.47	5.0000	129.22	5.0000	22.82	5.0000	43.28	4.9943
CITADEL SECURITIES LLC	22.69	21.86	21.61	25.73	26.77	461.48	7.5000	59.88	7.5003	36.34	5.0748	47.32	6.9300
Two Sigma Securities, LLC	21.12	21.10	25.42	25.58	16.97	405.46	7.5000	29.43	7.5000	34.26	7.5000	24.57	7.5000
Canaccord Genuity Securities	19.66	20.55	19.92	14.53	16.86	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Maxim Group LLC	9.39	9.53	9.32	11.19	7.06	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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

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
99.99	61.22	8.16	15.93	14.69

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)
CITADEL SECURITIES LLC	27.12	25.36	26.03	25.40	36.90	3,859.67	7.3528	1,632.64	7.1796	820.25	5.0212	577.29	2.9096
UBS Securities, LLC	25.51	27.58	19.88	19.01	27.03	1,526.03	4.8144	1,422.06	4.7695	548.04	4.9213	251.20	4.5624
Canaccord Genuity Securities	20.25	21.16	19.84	19.96	16.99	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	18.10	18.28	19.84	20.93	13.31	3,492.65	7.3018	1,358.21	6.9331	1,079.84	6.7638	392.85	7.4291
Maxim Group LLC	9.03	7.61	14.42	14.70	5.77	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

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	19.85	12.87	65.75	1.53

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)
Citadel Execution Services	52.29	50.11	55.79	52.25	52.43	3,906.00	31.0789	6,617.00	40.4462	6,322.00	36.7217	141.00	31.3333
SUS	47.67	49.81	44.10	47.72	47.57	1,896.70	30.0682	2,778.40	35.6023	7,425.30	32.3092	3,407.70	29.5653

August 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
100.00	77.26	2.90	7.73	12.10

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)
UBS Securities, LLC	29.83	29.84	25.50	25.11	33.81	172.26	4.9910	140.90	5.0000	26.75	5.0000	34.40	5.0000
CITADEL SECURITIES LLC	21.54	20.57	26.29	29.30	21.59	330.39	7.4999	32.84	7.5029	24.83	5.2115	19.94	6.3035
Two Sigma Securities, LLC	20.77	20.63	21.91	21.38	21.01	340.18	7.5000	30.74	7.5000	39.10	7.5000	38.43	7.5000
Canaccord Genuity Securities	19.53	20.45	16.33	16.14	16.52	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Maxim Group LLC	8.34	8.50	9.96	8.07	7.07	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

August 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
100.00	61.87	8.39	16.70	13.04

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)
UBS Securities, LLC	26.80	28.58	23.89	20.20	28.69	1,997.13	4.9111	1,937.65	4.8595	577.00	4.8689	337.34	4.7761

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)
CITADEL SECURITIES LLC	26.80	25.09	25.90	26.15	36.31	4,439.70	7.3464	2,083.35	6.9510	697.79	4.8317	594.74	5.4570
Canaccord Genuity Securities	19.69	20.49	20.52	20.06	14.88	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	17.35	17.76	16.35	18.61	14.44	3,500.75	7.2432	1,276.31	6.8856	684.46	7.2382	195.59	6.4960
Maxim Group LLC	9.36	8.08	13.33	14.98	5.68	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

August 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	16.23	12.99	69.70	1.08

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)
Citadel Execution Services	53.76	54.26	58.06	52.83	54.43	3,402.00	30.0849	9,003.00	39.7168	8,071.00	35.6808	235.00	36.7762
SUS	46.19	45.74	41.94	47.09	45.57	1,677.70	30.1853	3,603.10	40.1325	8,450.10	31.0209	3,506.50	31.6471

September 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
100.00	77.08	2.23	8.24	12.45

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)
UBS Securities, LLC	35.10	34.39	24.08	32.67	43.07	227.46	4.9986	109.46	5.0000	101.32	5.0000	65.25	5.0000
CITADEL SECURITIES LLC	22.63	22.00	31.94	29.42	20.32	397.62	7.4999	103.11	7.5003	83.47	5.3173	23.67	4.7373
Canaccord Genuity Securities	21.31	22.21	24.08	18.67	16.95	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	20.56	21.03	19.90	17.96	19.48	352.15	7.5000	144.43	7.5000	24.33	7.5000	32.65	7.5000

September 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
100.00	60.04	7.93	17.14	14.89

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)
UBS Securities, LLC	32.47	34.21	31.88	28.01	30.88	2,607.99	4.7554	2,240.33	4.6693	976.06	4.6684	448.83	4.9212
CITADEL SECURITIES LLC	27.88	25.69	28.42	27.21	37.17	3,868.37	7.3418	1,750.15	6.9307	1,040.38	5.1856	463.42	4.3380
Canaccord Genuity Securities	21.02	21.69	20.64	22.73	16.53	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Two Sigma Securities, LLC	17.69	17.61	17.37	20.65	14.75	2,743.11	7.3038	930.29	7.3036	801.22	7.4191	295.38	7.3037

September 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	16.78	13.86	68.60	0.77

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)
Citadel Execution Services	51.29	50.86	50.54	51.49	57.14	3,198.00	28.8837	8,724.00	40.8312	8,453.00	38.5348	189.00	31.1367
SUS	48.67	49.06	49.26	48.51	42.86	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000