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

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1st quarter, 2020

January 2020

S&P 500 Stocks

Summary

	Orders as %	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	of Non-	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Directed	Orders	Orders	Orders
100.00	96.63	0.52	1.81	1.04

Venues

venues		-						-			-	
Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)	Non-Marketable Limit Orders(%)	Other	Net Payment Paid/Received for Market Orders(USD)	Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities											_	
LLC(CDRG)	58.44	59.37	50.00	23.08	75.00	C	0	0	0	0	0	0
VIRTU Americas												
LLC(NITE)	29.65	30.25	50.00	7.69	25.00	C	0	0	0	0	0	0
G1 Execution Services,												
LLC(ETMM)	7.58	7.90	0.00	0.00	0.00	C	0	0	0	0	0	0
NASDAQ Execution												
Services, LLC(NSDQ)	1.08	0.00	0.00	38.46	0.00	С	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.08	1.13	0.00	0.00	0.00	C	o	0	0	0	0	0
UBS Securities,												
LLC(UBSS)	1.08	1.13	0.00	0.00	0.00	C	0	0	0	0	0	0
New York Stock												
Exchange(NYSE)	0.65	0.00	0.00	23.08	0.00	c	0	0	0	0	0	0
Cboe EDGX U.S. Equities	0.22	0.00	0.00	7.00	0.00							
Exchange(EDGX)	0.22	0.00	0.00	7.69	0.00	C	0	0	0	0	0	0

State Street Global												
Markets, LLC(SSBS)	0.22	0.23	0.00	0.00	0.00	0	0	0	0	0	0	C

Material Aspects:

January 2020

Non S&P 500 Stocks

Summary

	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	96.43	0.63	2.27	0.68

Venues

Venues												
	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)		Other	Net Payment Paid/Received for Market Orders(USD)	Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities	50.00	50.07		22.22	25.74							
LLC(CDRG)	58.00	59.27	52.94	20.00	35.71	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	27.92	28.57	17.65	4.62	42.86	C	0	0	0	0	0	0
G1 Execution Services,	27.02	20107	1,100		12100	~			-			
· ·	8.40	8.67	5.88	1.54	0.00	C	0	0	0	0	0	0
UBS Securities,												
LLC(UBSS)	1.99	1.99	0.00	1.54	7.14	C	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.15	1.11	0.00	0.00	14.29	C	0	0	0	0	0	0
Choe EDGX U.S. Equities		0.00	0.00	25.20	0.00							
Exchange(EDGX)	0.98	0.00	0.00	35.38	0.00	C	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	0.72	0.00	0.00	26.15	0.00	c	0	0	0	0	0	0
JANE STREET CAPITAL,						Ĭ	, i i i i i i i i i i i i i i i i i i i	ľ	ľ	,	ľ	Ű
LLC(JNST)	0.30	0.31	0.00	0.00	0.00	C	0	0	0	0	0	0

State Street Global												
Markets, LLC(SSBS)	0.25	0.09	23.53	0.00	0.00	0	0	0	0	0	0	0
Cboe BZX U.S. Equities												
Exchange(ZBAT)	0.13	0.00	0.00	4.62	0.00	0	0	0	0	0	0	0

Material Aspects:

January 2020

Option Contracts

Summary

	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	0.00	0.00	100.00	0.00

Venues

									Net Payment		Net Payment	
							Net Payment	Net Payment	Paid/Received for	Net Payment	Paid/Received for	Net Payment
						Net Payment	Paid/Received for	Paid/Received for	Marketable Limit	Paid/Received for	Non-Marketable	Paid/Received
Venue - Non-directed	Non-Directed		Marketable Limit	Non-Marketable	Other	Paid/Received for	Market Orders(cents	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	for Other
Order Flow	Orders(%)	Market Orders(%)	Orders(%)	Limit Orders(%)	Orders(%)	Market Orders(USD)	per hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares)	Orders(USD)
Citadel Securities												
LLC(CDRG)	71.43	0.00	0.00	71.43	0.00	0	0	0	0	0	0	0
DASH FINANCIAL												
TECHNOLOGIES												1
LLC(DASH)	28.57	0.00	0.00	28.57	0.00	0	0	0	0	0	0	0

Material Aspects:

February 2020

S&P 500 Stocks

Summary

	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	93.38	1.35	4.32	0.95

Venues

venues												
	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)		Other	Net Payment Paid/Received for	Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities	57.70	60.40	20.00	10.00	74.40							
	57.79	60.49	30.00	18.60	71.43	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	28.23	28.08	60.00	23.26	28.57	0	0	0	0	0	C	0
G1 Execution Services, LLC(ETMM)	7.59	7.96	10.00	2.33	0.00	0	0	0	0	0	C	0
UBS Securities, LLC(UBSS)	1.86	2.03	0.00	0.00	0.00	0	0	0	0	0	C	0
NASDAQ Execution	1.46	0.00	0.00	25.58	0.00	0	0	0	0	0	C	0
New York Stock Exchange(NYSE)	1.33	0.00	0.00	23.26	0.00	0	0	0	0	0	C	0
JANE STREET CAPITAL,	0.93	1.01	0.00	0.00	0.00	0	0	0	0	0	0	0
Cboe EDGX U.S. Equities Exchange(EDGX)		0.00	0.00	6.98	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	0.40	0.43	0.00	0.00	0.00	o	0	0	0	0	C	0

Material Aspects:

February 2020

Non S&P 500 Stocks

Summary

	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	94.92	0.80	3.95	0.33

Venues

venues												
Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)		Other Orders(%)		Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	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)
Citadel Securities												
LLC(CDRG)	53.97	56.70	41.18	10.57	57.14	0	0	0	0	0	0	0
VIRTU Americas												
LLC(NITE)	29.94	31.22	52.94	4.88	42.86	0	0	0	0	0	0	0
G1 Execution Services,												
LLC(ETMM)	7.38	7.92	0.00	0.00	0.00	0	0	0	0	0	0	0
UBS Securities,												
LLC(UBSS)	2.03	2.08	5.88	0.81	0.00	0	0	0	0	0	0	0
Cboe EDGX U.S. Equities Exchange(EDGX)		0.00	0.00	31.71	0.00	0	0	0	0	C	0	0
NASDAQ Execution												
Services, LLC(NSDQ)	1.66	0.00	0.00	29.27	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.06	1.14	0.00	0.00	0.00	0	0	0	0	0	0	0
NYSE Arca(ARCA)	0.88	0.00	0.00	15.45	0.00	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	0.69	0.74	0.00	0.00	0.00	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	0.28	0.00	0.00	4.88	0.00	0	0	0	0	0	0	0

Material Aspects:

February 2020

Option Contracts

Summary

	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	0.00	25.00	75.00	0.00

Venues

Venues												
Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)		Other	Net Payment Paid/Received for	Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit		Net Payment Paid/Received for Non-Marketable	Non-Marketable	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities												
LLC(CDRG)	37.50	0.00	100.00	16.67	0.00	0	0	0	0	0	0	C
MORGAN STANLEY &												
CO. LLC(MSCO)	25.00	0.00	0.00	33.33	0.00	0	0	0	0	0	0	0
Wolverine Execution												
Services LLC(WEXX)	25.00	0.00	0.00	33.33	0.00	0	0	0	0	0	0	0
DASH FINANCIAL												
TECHNOLOGIES												
LLC(DASH)	12.50	0.00	0.00	16.67	0.00	0	0	0	0	0	0	0

Material Aspects:

March 2020

S&P 500 Stocks

Summary

	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	88.13	1.26	9.17	1.44

Venues

Venues												
	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)		Other	Net Payment Paid/Received for Market Orders(USD)	Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit	Marketable Limit		Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities LLC(CDRG)	54.49	58.73	65.22	24.53	54.17				0			
VIRTU Americas	54.49	56.75	05.22	24.55	54.17		0	0	0	0		0
	18.67	20.01	13.04	8.49	33.33	C	0	0	0	0	C	0
G1 Execution Services,	8.51	9.28			0.00	C	0	0	0	0	c	0
UBS Securities, LLC(UBSS)	5.70	6.44	4.35	0.94	4.17	C	0	0	0	0	C	0
NASDAQ Execution Services, LLC(NSDQ)	4.82	0.00	0.00	38.68	0.00	C	0	0	0	0	C	0
Two Sigma Securities, LLC(SOHO)	3.35	3.74	0.00	0.47	8.33	C	0	0	0	0	C	0
New York Stock Exchange(NYSE)	1.76	0.00	13.04	12.74	0.00	C	0	0	0	0	C	0
JANE STREET CAPITAL, LLC(JNST)	1.47	1.66	4.35	0.00	0.00	C	0	0	0	0	C	0 0
Cboe EDGX U.S. Equities Exchange(EDGX)		0.00	0.00	7.55	0.00	c	0	0	0	0	c	0
Cboe BZX U.S. Equities Exchange(ZBAT)	0.18	0.00	0.00	1.42	0.00	C	o	0	0	0	c	0

Material Aspects:

March 2020

Non S&P 500 Stocks

Summary

	of Non- Directed		Limit Orders as % of Non-Directed	Other Orders as % of Non-Directed Orders
100.00	90.73	0.63	8.25	0.40

Venues

						Net Payment	Net Payment Paid/Received for	Net Payment		Net Payment Paid/Received for	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received
Venue - Non-directed	Non-Directed		Marketable Limit	Non-Marketable	Other	Paid/Received for	Market Orders(cents	Marketable Limit	Orders(cents per	Non-Marketable	Limit Orders(cents	for Other
Order Flow	Orders(%)	Market Orders(%)	Orders(%)	Limit Orders(%)	Orders(%)	Market Orders(USD)	per hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	per hundred shares)	Orders(USD)
Citadel Securities												
LLC(CDRG)	53.55	58.95	50.00	15.52	64.29	C	0) 0	0	0	C	0
VIRTU Americas												
	18.07	18.56	7.69	14.86	28.57	C	C) 0	0	0	C	0
G1 Execution Services,												
LLC(ETMM)	9.42	10.50	19.23	1.55	0.00	C	0	0 0	0	0	C	0
UBS Securities,												
LLC(UBSS)	5.31	5.79	3.85	2.00	7.14	C	0	0	0	0	C	0
NASDAQ Execution												
Services, LLC(NSDQ)	3.12	0.00	0.00	25.28	0.00	C	0	0	0	0	C	0 0
Two Sigma Securities,												
LLC(SOHO)	2.74	3.10	7.69	0.00	0.00	C	C	0	0	0	c c	0
JANE STREET CAPITAL,												
LLC(JNST)	2.63	3.00	0.00	0.22	0.00	C	0	0	0	0	C	0
NYSE Arca(ARCA)	2.16	0.00	0.00	17.52	0.00	C	0	0	0	0	C	0
Cboe EDGX U.S. Equities												
	2.00	0.00	0.00	16.19	0.00	r c	n n		0	0	, c	0
New York Stock	2.00		0.00				, i i i i i i i i i i i i i i i i i i i				<u> </u>	
	0.68	0.00	7.69	5.10	0.00	() a	0	n	0	, c	0

Material Aspects:

March 2020

Option Contracts

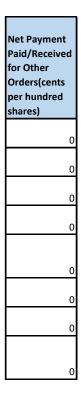
Summary

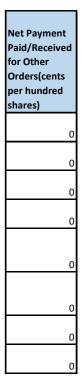
	Market			
	Orders as %	Marketable Limit	Non-Marketable	
	of Non-	Orders as % of	Limit Orders as %	Other Orders as %
Non-Directed Orders as	Directed	Non-Directed	of Non-Directed	of Non-Directed
% of All Orders	Orders	Orders	Orders	Orders
100.00	3.45	10.34	86.21	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders(%)	Market Orders(%)	Marketable Limit Orders(%)		Other	Net Payment Paid/Received for	Paid/Received for Market Orders(cents	Net Payment Paid/Received for Marketable Limit	Marketable Limit Orders(cents per	Net Payment Paid/Received for Non-Marketable	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)
Citadel Securities LLC(CDRG)	57.14	100.00	33.33	58.33	0.00	0	0	0	0	0	0	0
DASH FINANCIAL TECHNOLOGIES LLC(DASH)	10.71	0.00	0.00	12.50	0.00	0	0	0	0	0	0	0
MORGAN STANLEY & CO. LLC(MSCO)	10.71	0.00	0.00	12.50	0.00	0	0	0	0	0	0	0
Citigroup Global Markets, Inc.(CITI)	7.14	0.00	0.00	8.33	0.00	0	0	0	0	0	0	0
Susquehanna Capital Group(SUSQ)	7.14	0.00	66.67	0.00	0.00	0	0	0	0	0	0	0
Wolverine Execution Services LLC(WEXX)	7.14	0.00	0.00	8.33	0.00	0	0	0	0	0	0	0

Material Aspects:



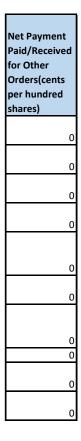




Net Payment Paid/Received for Other Orders(cents per hundred shares) 0

0





Net Payment Paid/Received for Other Orders(cents per hundred shares)

0

0

0

0

