

Evercore ISI - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2022

January 2022

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 |
|--|---|---|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| | | | | | | | | | | | | | |

January 2022

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 |
|--|---|---|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| | | | | | | | | | | | | | |

January 2022

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 | 4.54 | 47.77 | 47.69 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| DFIN | 96.57 | 74.56 | 97.58 | 97.66 | 0.00 | -227.8470 | -0.1500 | -195.0840 | -0.1500 | -216.4800 | -0.1500 | 0.0000 | 0.0000 |
| HEXAX | 3.19 | 23.68 | 2.34 | 2.09 | 0.00 | -57.2030 | -0.1825 | -39.1085 | -0.1537 | -34.6170 | -0.1526 | 0.0000 | 0.0000 |
| CASYW | 0.16 | 0.88 | 0.08 | 0.17 | 0.00 | -1.0500 | -0.1500 | -0.2775 | -0.1500 | -1.3275 | -0.1500 | 0.0000 | 0.0000 |
| JAKS | 0.08 | 0.88 | 0.00 | 0.08 | 0.00 | -0.3000 | -0.2000 | 0.0000 | 0.0000 | -0.3000 | -0.2000 | 0.0000 | 0.0000 |

Material Aspects:

DFIN:

DFIN is Dash Financial Technologies LLC, an electronic options broker. Evercore ISI routes held and not held orders to DFIN that are executed in various market centers chosen by DFIN. DFIN charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product. Evercore ISI is generally charged \$0.05 for low touch execution and \$0.15 for high touch execution. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DFIN. Evercore ISI is eligible to receive rebates based on its order volumes routed to DFIN.

HEXAX:

HEXAX: Hamilton Executions LLC is an options broker. Hamilton charges Evercore ISI a standard rate of \$0.15 per contract executed. Evercore ISI pays no connectivity fees, has no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, and does not have any arrangements other than as stated in this disclosure.

CASYW:

CASYW: Casey Securities LLC is an options broker. Casey charges Evercore ISI a standard rate of \$0.15 per contract executed and \$0.10 for cross trades executed. Evercore ISI pays no connectivity fees, has no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, and does not have any arrangements other than as stated in this disclosure.

JAKS:

JAKS: J.A.K. Securities Inc. is an options broker. J.A.K charges Evercore ISI a standard rate of \$0.15 per contract executed. Evercore ISI pays no connectivity fees, has no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, and does not have any arrangements other than as stated in this disclosure.

February 2022

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 |
|--|---|---|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|

February 2022

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 |
|--|---|---|---|--|
| 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|

February 2022

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 | 3.01 | 48.83 | 48.16 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| DFIN | 97.66 | 81.58 | 98.46 | 97.86 | 0.00 | -156.1005 | -0.1500 | -144.2490 | -0.1500 | -169.6005 | -0.1500 | 0.0000 | 0.0000 |
| HEXAX | 1.90 | 17.11 | 1.05 | 1.81 | 0.00 | -24.3210 | -0.1500 | -38.6655 | -0.1500 | -44.8710 | -0.1500 | 0.0000 | 0.0000 |
| JAKS | 0.44 | 1.32 | 0.49 | 0.33 | 0.00 | -1.0000 | -0.2000 | -20.9520 | -0.2000 | -20.1520 | -0.2000 | 0.0000 | 0.0000 |

Material Aspects:

DFIN:

March 2022

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 | 1.81 | 46.01 | 52.18 | 0.00 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| DFIN | 97.31 | 64.71 | 97.97 | 97.87 | 0.00 | -93.8595 | -0.1500 | -101.9385 | -0.1500 | -138.5460 | -0.1500 | 0.0000 | 0.0000 |
| HEXAX | 1.91 | 29.41 | 1.39 | 1.42 | 0.00 | -25.3380 | -0.1500 | -24.0030 | -0.1500 | -26.6400 | -0.1500 | 0.0000 | 0.0000 |
| CASYW | 0.45 | 1.47 | 0.41 | 0.46 | 0.00 | -1.3950 | -0.1500 | -12.0000 | -0.1500 | -13.3935 | -0.1500 | 0.0000 | 0.0000 |
| JAKS | 0.32 | 4.41 | 0.23 | 0.25 | 0.00 | -0.2480 | -0.2000 | -8.0600 | -0.2000 | -8.1880 | -0.2000 | 0.0000 | 0.0000 |

Material Aspects:

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CASYW: Casey Securities LLC is an options broker. Casey charges Evercore ISI a standard rate of \$0.15 per contract executed and \$0.10 for cross trades executed. Evercore ISI pays no connectivity fees, has no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, and does not have any arrangements other than as stated in this disclosure.

JAKS:

JAKS: J.A.K. Securities Inc. is an options broker. J.A.K. charges Evercore ISI a standard rate of \$0.15 per contract executed. Evercore ISI pays no connectivity fees, has no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, and does not have any arrangements other than as stated in this disclosure.