# TRANSAMERICA FINANCIAL ADVISORS - Held NMS Stocks and Options Order Routing Public Report

Generated on Fri Apr 07 2023 04:57:59 GMT-0400 (Eastern Daylight Time)

1st Quarter, 2023

# January 2023

### S&P 500 Stocks

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

| Ve  | enue - | Non-       | Market | Marketable   | Non-         | Other  | Net Payment       | Net Payment Paid/   | Net Payment Paid/ | Net Payment Paid/ | Net Payment Paid/ | Net Payment Paid/ | Net Payment       | Net Payment Paid/  |
|-----|--------|------------|--------|--------------|--------------|--------|-------------------|---------------------|-------------------|-------------------|-------------------|-------------------|-------------------|--------------------|
| l N | Non-   | Directed   | Orders | Limit Orders | Marketable   | Orders | Paid/Received for | Received for Market | Received for      | Received for      | Received for Non- | Received for Non- | Paid/Received for | Received for Other |
| dir | rected | Orders (%) | (%)    | (%)          | Limit Orders | (%)    | Market            | Orders(cents per    | Marketable Limit  | Marketable Limit  | Marketable Limit  | Marketable Limit  | Other             | Orders(cents per   |
| 0   | Order  |            |        |              | (%)          |        | Orders(USD)       | hundred shares)     | Orders(USD)       | Orders(cents per  | Orders(USD)       | Orders(cents per  | Orders(USD)       | hundred shares)    |
| F   | Flow   |            |        |              |              |        |                   |                     |                   | hundred shares)   |                   | hundred shares)   |                   |                    |

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# January 2023

### Non-S&P 500 Stocks

### Summary

| Non-Directed Order<br>as % of All Order |      | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|------|--|--|--|---|
| (                                       | 0.00 | 0.00   | 0.00   | 0.00   | 0.00  |

#### Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Directed Orders | Marketable<br>Limit Orders<br>(%) | cted Orders |  | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|--|-----------------|-----------------------------------|-------------|--|------------------------|---|---|--|--|---|---|--|--|
|--|-----------------|-----------------------------------|-------------|--|------------------------|---|---|--|--|---|---|--|--|

# January 2023

## **Options**

## Summary

|   | Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|---|--|--|--|---|
| 1 | 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

## Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Non-<br>Directed Orders<br>Orders (%) (%) | Marketable<br>Limit Orders<br>(%) |  | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |  |
|--|---|-----------------------------------|--|------------------------|---|---|--|--|---|---|--|--|--|
|--|---|-----------------------------------|--|------------------------|---|---|--|--|---|---|--|--|--|

# February 2023

## S&P 500 Stocks

## Summary

|   | Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|---|--|--|--|---|
| 1 | 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

### Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |  |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|

# February 2023

## Non-S&P 500 Stocks

## Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Non-<br>Directed Orders<br>Orders (%) (%) | Marketable<br>Limit Orders<br>(%) |  | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |  |
|--|---|-----------------------------------|--|------------------------|---|---|--|--|---|---|--|--|--|
|--|---|-----------------------------------|--|------------------------|---|---|--|--|---|---|--|--|--|

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# February 2023

# **Options**

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

### Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |  |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|--|

# March 2023

## S&P 500 Stocks

## Summary

|   | Non-Directed Orders as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|--|---|
| I | 100.00                                 | 40.00  | 0.00   | 60.00  | 0.00  |

### Venues

| Venue -<br>Non-directed<br>Order Flow   | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|---|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
| G1 Execution<br>Services, LLC<br>(ETMM) | 40.00                          | 50.00                   | 0.00                              | 33.33                                     | 0.00                   | 0   | 0.0000  | 0  | 0.0000   | 0   | 0.0000  | 0  | 0.0000   |
| VIRTU<br>Americas,<br>LLC (NITE)        | 40.00                          | 50.00                   | 0.00                              | 33.33                                     | 0.00                   | 0   | 0.0000  | 0  | 0.0000   | 0   | 0.0000  | 0  | 0.0000   |
| Citadel<br>Securities<br>LLC (CDRG)     | 20.00                          | 0.00                    | 0.00                              | 33.33                                     | 0.00                   | 0   | 0.0000  | 0  | 0.0000   | 0   | 0.0000  | 0  | 0.0000   |

### **Material Aspects:**

G1 Execution Services, LLC (ETMM):

[Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

VIRTU Americas, LLC (NITE): [Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

Citadel Securities LLC (CDRG): [Insert discussion of the material aspects of the relationship with this venue pursuant to rule 606(a)(1)(iv).]

## March 2023

## Non-S&P 500 Stocks

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

### Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|

## March 2023

## **Options**

#### Summary

| Non-Directed Orders as % of as % of All Orders Non-Directed Orders | 1 | ,    |      |      |      |      |
|--|---|------|------|------|------|------|
|  |   |      |      |      |      |      |
|  | 1 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |

#### Venues

| Venue -<br>Non-<br>directed<br>Order<br>Flow | Non-<br>Directed<br>Orders (%) | Market<br>Orders<br>(%) | Marketable<br>Limit Orders<br>(%) | Non-<br>Marketable<br>Limit Orders<br>(%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received for<br>Market<br>Orders(USD) | Net Payment Paid/<br>Received for Market<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(USD) | Net Payment Paid/<br>Received for Non-<br>Marketable Limit<br>Orders(cents per<br>hundred shares) | Net Payment<br>Paid/Received for<br>Other<br>Orders(USD) | Net Payment Paid/<br>Received for Other<br>Orders(cents per<br>hundred shares) |
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|
|--|--------------------------------|-------------------------|-----------------------------------|---|------------------------|---|---|--|--|---|---|--|--|