

Transamerica Financial Advisors, LLC - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2024

July 2024

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 | 95.44 | 0.00 | 4.56 | 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| VIRTU Americas, LLC (NITE) | 25.58 | 33.04 | 0.00 | 1.41 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| G1 Execution Services, LLC (ETMM) | 20.93 | 26.52 | 0.00 | 2.82 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Citadel Securities LLC (CDRG) | 18.94 | 24.35 | 0.00 | 1.41 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| New York Stock Exchange (NYSE) | 15.95 | 0.00 | 0.00 | 67.61 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital, LLC (JNST) | 10.96 | 14.35 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| NASDAQ Execution Services, LLC (NSDQ) | 3.99 | 0.00 | 0.00 | 16.90 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX US Equities Exchange (EDGX) | 1.66 | 0.00 | 0.00 | 7.04 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| StoneX Financial Inc. (INTL) | 0.66 | 0.87 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Members Exchange (MEMX) | 0.66 | 0.00 | 0.00 | 2.82 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC (SOHO) | 0.66 | 0.87 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

July 2024

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 | 94.51 | 0.00 | 5.49 | 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| VIRTU Americas, LLC (NITE) | 28.43 | 32.56 | 0.00 | 6.25 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital, LLC (JNST) | 23.53 | 27.91 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| G1 Execution Services, LLC (ETMM) | 19.61 | 23.26 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Citadel Securities LLC (CDRG) | 10.78 | 12.79 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| New York Stock Exchange (NYSE) | 7.84 | 0.00 | 0.00 | 50.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| NASDAQ Execution Services, LLC (NSDQ) | 5.88 | 0.00 | 0.00 | 37.50 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| StoneX Financial Inc. (INTL) | 2.94 | 3.49 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

| | | | | | | | | | | | | | |
|-------------------------|------|------|------|------|------|------|--------|------|--------|------|--------|------|--------|
| Members Exchange (MEMX) | 0.98 | 0.00 | 0.00 | 6.25 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
|-------------------------|------|------|------|------|------|------|--------|------|--------|------|--------|------|--------|

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

July 2024

Option Contracts

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

August 2024

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 | 95.83 | 0.00 | 4.17 | 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| VIRTU Americas, LLC (NITE) | 23.82 | 30.16 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Citadel Securities LLC (CDRG) | 21.46 | 26.90 | 0.00 | 1.03 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital, LLC (INST) | 18.03 | 22.55 | 0.00 | 1.03 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| G1 Execution Services, LLC (ETMM) | 14.59 | 17.93 | 0.00 | 2.06 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| New York Stock Exchange (NYSE) | 9.66 | 0.00 | 0.00 | 46.39 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| NASDAQ Execution Services, LLC (NSDQ) | 8.80 | 0.00 | 100.00 | 41.24 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| UBS Securities, LLC (UBSS) | 1.07 | 1.36 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX US Equities Exchange (EDGX) | 0.86 | 0.00 | 0.00 | 4.12 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| StoneX Financial Inc. (INTL) | 0.64 | 0.82 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Members Exchange (MEMX) | 0.64 | 0.00 | 0.00 | 3.09 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

August 2024

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 | 91.73 | 0.00 | 8.27 | 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| NASDAQ Execution Services, LLC (NSDQ) | 22.06 | 0.00 | 0.00 | 54.88 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Citadel Securities LLC (CDRG) | 16.42 | 26.64 | 0.00 | 1.22 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| VIRTU Americas, LLC (NITE) | 15.69 | 26.23 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| New York Stock Exchange (NYSE) | 15.44 | 0.00 | 0.00 | 38.41 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital, LLC (JNST) | 14.95 | 24.18 | 0.00 | 1.22 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| G1 Execution Services, LLC (ETMM) | 11.76 | 18.03 | 0.00 | 2.44 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| UBS Securities, LLC (UBSS) | 1.47 | 2.46 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| StoneX Financial Inc. (INTL) | 0.74 | 1.23 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC (SOHO) | 0.74 | 1.23 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX US Equities Exchange (EDGX) | 0.49 | 0.00 | 0.00 | 1.22 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

August 2024

Option Contracts

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

September 2024

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 | 98.62 | 0.00 | 1.10 | 0.28 |

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 (CDRG) | 28.80 | 29.61 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital, LLC (JNST) | 25.27 | 25.98 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| G1 Execution Services, LLC (ETMM) | 20.92 | 20.95 | 0.00 | 22.22 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| VIRTU Americas, LLC (NITE) | 20.65 | 20.95 | 0.00 | 0.00 | 100.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| New York Stock Exchange (NYSE) | 1.90 | 0.00 | 0.00 | 77.78 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| StoneX Financial Inc. (INTL) | 1.09 | 1.12 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC (SOHO) | 0.54 | 0.56 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| UBS Securities, LLC (UBSS) | 0.54 | 0.56 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| HRT FINANCIAL LP (HRTF) | 0.27 | 0.28 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

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September 2024

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 | 94.20 | 0.48 | 5.31 | 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|---|--|---|--|---|--|--|---|
| Citadel Securities LLC (CDRG) | 27.57 | 33.85 | 100.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Jane Street Capital, LLC (JNST) | 19.34 | 23.59 | 0.00 | 2.13 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| G1 Execution Services, LLC (ETMM) | 16.46 | 20.00 | 0.00 | 2.13 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| VIRTU Americas, LLC (NITE) | 14.40 | 17.95 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| NASDAQ Execution Services, LLC (NSDQ) | 7.82 | 0.00 | 0.00 | 40.43 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| New York Stock Exchange (NYSE) | 7.82 | 0.00 | 0.00 | 40.43 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Cboe EDGX US Equities Exchange (EDGX) | 2.47 | 0.00 | 0.00 | 12.77 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| Two Sigma Securities, LLC (SOHO) | 1.65 | 2.05 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| StoneX Financial Inc. (INTL) | 0.82 | 1.03 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |
| UBS Securities, LLC (UBSS) | 0.82 | 1.03 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).

September 2024

Option Contracts

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) |
|---------------------------------|------------------------|------------------|----------------------------|--------------------------------|-----------------|--|---|--|---|--|---|---|--|
| | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 | 0.00 | 0.0000 |

Material Aspects:

Transamerica Financial Advisors LLC does not receive compensation, rebates, nor pay transaction fees for the routing of its equity order flow pursuant to rule 606(a)(1)(iv).