

AXIOM CAPITAL MANAGEMENT, INC. - Held
NMS Stocks and Options Order Routing Public
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3rd Quarter, 2020

July 2020

S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
1,049	100.00	647	61.68	150	14.30	246	23.45	6	0.57

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
National Financial Services LLC(XSTM)	692	39.10	0	0.00	0	0.00	0.00	0	0.00	692	93.89	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	326	18.42	301	48.78	14	1.00	10.37	8	2.85	3	0.41	0	0	0	0	0	0	0
CITI Order Routing and Execution, LLC(AUTO)	254	14.35	0	0.00	98	7.50	72.59	156	55.52	0	0.00	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	242	13.67	218	35.33	14	1.00	10.37	9	3.20	1	0.14	0	0	0	0	0	0	0
Instinet	46	2.60	14	2.27	4	0.30	2.96	26	9.25	2	0.27	0	0	0	0	0	0	0
BlockCross(BLCK)	39	2.20	0	0.00	0	0.00	0.00	0	0.00	39	5.29	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	34	1.92	31	5.02	3	0.20	2.22	0	0.00	0	0.00	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	33	1.86	0	0.00	0	0.00	0.00	33	11.74	0	0.00	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	32	1.81	0	0.00	0	0.00	0.00	32	11.39	0	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	28	1.58	26	4.21	2	0.15	1.48	0	0.00	0	0.00	0	0	0	0	0	0	0

July 2020

Non-S&P 500 Stocks
Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
5,077	100.00	3,519	69.31	643	12.66	838	16.51	77	1.52

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
National Financial Services LLC(XSTM)	3,820	42.41	0	0.00	0	0.00	0.00	0	0.00	3,820	93.13	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	2,101	23.33	1,778	52.84	237	1.80	40.65	52	5.43	34	0.83	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	1,334	14.81	1,124	33.40	156	1.17	26.76	39	4.08	15	0.37	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	288	3.20	0	0.00	0	0.00	0.00	288	30.09	0	0.00	0	0	0	0	0	0	0
Instinet	274	3.04	28	0.83	57	0.43	9.78	186	19.44	3	0.07	0	0	0	0	0	0	0
CITI Order Routing and Execution, LLC(AUTO)	260	2.89	0	0.00	79	0.60	13.55	160	16.72	21	0.51	0	0	0	0	0	0	0
BlockCross(BLCK)	205	2.28	0	0.00	0	0.00	0.00	0	0.00	205	5.00	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	195	2.16	0	0.00	0	0.00	0.00	195	20.38	0	0.00	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	188	2.09	161	4.78	22	0.17	3.77	5	0.52	0	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	138	1.53	112	3.33	18	0.14	3.09	4	0.42	4	0.10	0	0	0	0	0	0	0

July 2020

Option Contracts

Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
1,248	100.00	0	0.00	355	28.45	750	60.10	143	11.46

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
CI Group Global Markets, Inc.(KEXP)	1,248	100.00	0	0.00	355		100.00	750	100.00	143	100.00	0	0	0	0	0	0	0

August 2020

S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
1,162	100.00	621	53.44	200	17.21	328	28.23	13	1.12

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
National Financial Services LLC(XSTM)	640	34.88	0	0.00	0		0.00	0	0.00	640	92.35	0	0	0	0	0	0	0
CITI Order Routing and Execution, LLC(AUTO)	374	20.38	0	0.00	139		69.50	235	65.46	0	0.00	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	351	19.13	308	52.83	21		10.50	12	3.34	10	1.44	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	202	11.01	186	31.90	10		5.00	3	0.84	3	0.43	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	75	4.09	0	0.00	0		0.00	75	20.89	0	0.00	0	0	0	0	0	0	0
Unknown()	47	2.56	7	1.20	28		14.00	12	3.34	0	0.00	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	44	2.40	40	6.86	1		0.50	3	0.84	0	0.00	0	0	0	0	0	0	0
Instinet	40	2.18	0	0.00	0		0.00	0	0.00	40	5.77	0	0	0	0	0	0	0
BlockCross(BLCK)	40	2.18	0	0.00	0		0.00	0	0.00	40	5.77	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	21	1.14	20	3.43	1		0.50	0	0.00	0	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	18	0.98	18	3.09	0		0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

August 2020

Non-S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
5,479	100.00	3,627	66.20	702	12.81	1,066	19.46	84	1.53

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other 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)
National Financial Services LLC(XSTM)	3,863	40.77	0	0.00	0		0.00	0	0.00	3,863	93.04	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	2,084	22.00	1,826	51.85	194		27.75	33	3.00	31	0.75	0	0	0	0	0	0	0
VIRTU Americas LLC(NITE)	1,398	14.76	1,223	34.72	144		20.60	12	1.09	19	0.46	0	0	0	0	0	0	0
CITI Order Routing and Execution, LLC(AUTO)	599	6.32	0	0.00	209		29.90	375	34.06	15	0.36	0	0	0	0	0	0	0
Unknown()	355	3.75	62	1.76	94		13.45	180	16.35	19	0.46	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	306	3.23	0	0.00	0		0.00	306	27.79	0	0.00	0	0	0	0	0	0	0
Instinet	205	2.16	0	0.00	0		0.00	0	0.00	205	4.94	0	0	0	0	0	0	0
BlockCross(BLCK)	205	2.16	0	0.00	0		0.00	0	0.00	205	4.94	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	174	1.84	149	4.23	25		3.58	0	0.00	0	0.00	0	0	0	0	0	0	0

G1 Execution Services, LLC(ETMM)	171	1.80	146	4.15	23	3.29	2	0.18	0	0.00	0	0	0	0	0	0	0	0	0
Cboe EDGX US Equities Exchange(EDGX)	143	1.51	0	0.00	0	0.00	143	12.99	0	0.00	0	0	0	0	0	0	0	0	0

August 2020

Option Contracts Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
1,081	100.00	3	0.28	362	33.49	689	63.74	27	2.50

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
Cligroup Global Markets, Inc.(KEXP)	1,069	98.89	0	0.00	362	33.49	100.00	680	98.69	27	100.00	0	0	0	0	0	0	0
Wolverine Execution Services LLC(WEX)	6	0.56	0	0.00	0	0.00	0.00	6	0.87	0	0.00	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	4	0.37	2	66.67	0	0.00	0.00	2	0.29	0	0.00	0	0	0	0	0	0	0
Morgan Stanley & Company LLC(MSCO)	2	0.19	1	33.33	0	0.00	0.00	1	0.15	0	0.00	0	0	0	0	0	0	0

September 2020

S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
1,061	100.00	468	44.11	212	19.98	376	35.44	5	0.47

Venues

Venue - Non-directed Order Flow	Non-Directed Orders	Non-Directed Orders(%)	Market Orders	Market Orders(%)	Marketable Limit Orders	Marketable Limit Orders(%)	Non-Marketable Limit Orders	Non-Marketable Limit Orders(%)	Other Orders	Other Orders(%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cent per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cent per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cent per hundred shares)
National Financial Services LLC(XSTM)	476	29.99	0	0.00	0	0.00	0.00	0	0.00	476	92.25	0	0	0	0	0	0	0
CITI Order Routing and Execution, LLC(AUTO)	404	25.46	0	0.00	129	12.99	62.02	275	66.91	0	0.00	0	0	0	0	0	0	0
Citadel Securities LLC(CDRG)	266	16.76	225	49.78	28	2.92	13.46	12	2.92	1	0.19	0	0	0	0	0	0	0
VIRTU Americas LLC(NTE)	167	10.52	139	30.75	16	1.68	7.69	11	2.68	1	0.19	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	85	5.36	0	0.00	0	0.00	0.00	85	20.68	0	0.00	0	0	0	0	0	0	0
Unknown Instinet	65	4.10	21	4.65	29	2.92	13.94	12	2.92	3	0.58	0	0	0	0	0	0	0
BlockCross(BLXK)	35	2.21	0	0.00	0	0.00	0.00	0	0.00	35	6.78	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	29	1.83	27	5.97	2	0.29	0.96	0	0.00	0	0.00	0	0	0	0	0	0	0
JANE STREET CAPITAL, LLC(JNST)	27	1.70	22	4.87	4	0.47	1.92	1	0.24	0	0.00	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	18	1.13	18	3.98	0	0.00	0.00	0	0.00	0	0.00	0	0	0	0	0	0	0

September 2020

Non-S&P 500 Stocks Summary

Total Non-Directed Orders	Non-Directed Orders as % of All Orders	Total Market Orders	Market Orders as % of Non-Directed Orders	Total Marketable Limit Orders	Marketable Limit Orders as % of Non-Directed Orders	Total Non-Marketable Limit Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Total Other Orders	Other Orders as % of Non-Directed Orders
4,629	100.00	3,038	65.63	720	15.55	816	17.63	55	1.19

Venues

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