

SVB INVESTMENT SERVICES INC.  
Held NMS Stocks and Options Order Routing Public Report  
Generated on Fri Jul 08 2022 08:59:10 GMT-4 EDT  
2nd Quarter, 2022

April 2022  
S&P 500 Stocks  
Summary

|  | 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 |                 |
|--|--|------------------------|---|-------------------------------|---|-----------------------------------|---|--------------------------------|--|-----------------|
| <b>Total Non-Directed Orders</b>       | 3                                      | 3                      | 100.00                                    | 0                             | 0.00  | 0                                 | 0.00  | 0                              | 0.00                                     |                 |
| <b>Venues</b>                          |  |                        |   |                               |   |                                   |   |                                |  |                 |
| <b>Venue - Non-directed Order Flow</b> | 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(%) |
| Jane Street Capital, LLC(JNST)         | 2                                      | 50.00                  | 2   | 66.67                         | 0   | 0.00                              | 0   | 0.00                           | 0  | 0.00            |
| Instinet BlockCross(BLKX)              | 1                                      | 25.00                  | 0   | 0.00                          | 0   | 0.00                              | 0   | 0.00                           | 1  | 100.00          |
| G1 Execution Services, LLC(ETMM)       | 1                                      | 25.00                  | 1   | 33.33                         | 0   | 0.00                              | 0   | 0.00                           | 0  | 0.00            |

April 2022

Non-S&P 500 Stocks

Summary

|  | 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 |                 |
|--|--|------------------------|---|-------------------------------|---|-----------------------------------|---|--------------------------------|--|-----------------|
| <b>Total Non-Directed Orders</b>       | 43                                     | 43                     | 100.00                                    | 0                             | 0.00  | 0                                 | 0.00  | 0                              | 0.00                                     |                 |
| <b>Venues</b>                          |  |                        |   |                               |   |                                   |   |                                |  |                 |
| <b>Venue - Non-directed Order Flow</b> | 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(%) |
| Citadel Securities LLC(CDRG)           | 17                                     | 39.53                  | 17  | 39.53                         | 0   | 0.00                              | 0   | 0.00                           | 0  | 0.00            |
| Jane Street Capital, LLC(JNST)         | 11                                     | 25.58                  | 11  | 25.58                         | 0   | 0.00                              | 0   | 0.00                           | 0  | 0.00            |
| VIRTU Americas, LLC(NITE)              | 8                                      | 18.60                  | 8   | 18.60                         | 0   | 0.00                              | 0   | 0.00                           | 0  | 0.00            |
| G1 Execution Services, LLC(ETMM)       | 7                                      | 16.28                  | 7   | 16.28                         | 0   | 0.00                              | 0   | 0.00                           | 0  | 0.00            |

April 2022

Option Contracts

Summary

|  | 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 |                 |
|--|--|------------------------|---|-------------------------------|---|-----------------------------------|---|--------------------------------|--|-----------------|
| <b>Total Non-Directed Orders</b>       | 0                                      | 0                      | 0.00                                      | 0                             | 0.00  | 0                                 | 0.00  | 0                              | 0.00                                     |                 |
| <b>Venues</b>                          |  |                        |   |                               |   |                                   |   |                                |  |                 |
| <b>Venue - Non-directed Order Flow</b> | 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(%) |

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|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 12                        | 100.00                                 | 12                  | 100.00                                    | 0                             | 0.00  | 0                                 | 0.00  | 0                  | 0.00                                     |

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(%) |
|----------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|
| Citadel Securities LLC(CDRG)     | 6                   | 46.15                  | 6             | 50.00            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| G1 Execution Services, LLC(ETMM) | 3                   | 23.08                  | 3             | 25.00            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| Jane Street Capital, LLC(JNST)   | 2                   | 15.38                  | 2             | 16.67            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| Instinet BlockCross(BLKX)        | 1                   | 7.69                   | 0             | 0.00             | 0                       | 0.00                       | 0                           | 0.00                           | 1            | 100.00          |
| VIRTU Americas, LLC(NITE)        | 1                   | 7.69                   | 1             | 8.33             | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |

May 2022

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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 59                        | 100.00                                 | 59                  | 100.00                                    | 0                             | 0.00  | 0                                 | 0.00  | 0                  | 0.00                                     |

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(%) |
|----------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|
| Citadel Securities LLC(CDRG)     | 25                  | 38.46                  | 25            | 42.37            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| VIRTU Americas, LLC(NITE)        | 16                  | 24.62                  | 16            | 27.12            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| G1 Execution Services, LLC(ETMM) | 12                  | 18.46                  | 12            | 20.34            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| Instinet BlockCross(BLKX)        | 6                   | 9.23                   | 0             | 0.00             | 0                       | 0.00                       | 0                           | 0.00                           | 6            | 100.00          |
| Jane Street Capital, LLC(JNST)   | 6                   | 9.23                   | 6             | 10.17            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |

May 2022

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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 0                         | 0.00                                   | 0                   | 0.00                                      | 0                             | 0.00  | 0                                 | 0.00  | 0                  | 0.00                                     |

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(%) |
|---------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|
|---------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|

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June 2022

S&P 500 Stocks  
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|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 2                         | 100.00                                 | 2                   | 100.00                                    | 0                             | 0.00  | 0                                 | 0.00  | 0                  | 0.00                                     |

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(%) |
|---------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|
| Jane Street Capital, LLC(INST)  | 1                   | 50.00                  | 1             | 50.00            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| VIRTU Americas, LLC(NITE)       | 1                   | 50.00                  | 1             | 50.00            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |

June 2022

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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 6                         | 100.00                                 | 6                   | 100.00                                    | 0                             | 0.00  | 0                                 | 0.00  | 0                  | 0.00                                     |

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(%) |
|----------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|
| G1 Execution Services, LLC(ETMM) | 4                   | 44.44                  | 4             | 66.67            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| Instinet BlockCross(BLKX)        | 3                   | 33.33                  | 0             | 0.00             | 0                       | 0.00                       | 0                           | 0.00                           | 3            | 100.00          |
| Citadel Securities LLC(CDRG)     | 1                   | 11.11                  | 1             | 16.67            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |
| Jane Street Capital, LLC(INST)   | 1                   | 11.11                  | 1             | 16.67            | 0                       | 0.00                       | 0                           | 0.00                           | 0            | 0.00            |

June 2022

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 |
|---------------------------|--|---------------------|---|-------------------------------|---|-----------------------------------|---|--------------------|--|
| 0                         | 0.00                                   | 0                   | 0.00                                      | 0                             | 0.00  | 0                                 | 0.00  | 0                  | 0.00                                     |

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(%) |
|---------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|
|---------------------------------|---------------------|------------------------|---------------|------------------|-------------------------|----------------------------|-----------------------------|--------------------------------|--------------|-----------------|