

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

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2nd Quarter, 2021

April 2021

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## 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)

Material Aspects:

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April 2021

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## 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)

Material Aspects:

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April 2021

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## 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	7.42	48.52	44.06	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	89.56	42.28	93.16	93.56	0.00	-50.5125	-0.1500	-92.7660	-0.1500	-113.6550	-0.1500	0.0000	0.0000
HAMILTON-AMEX	7.60	49.59	4.35	4.11	0.00	-107.3520	-0.2000	-62.8160	-0.2000	-48.9260	-0.2000	0.0000	0.0000
HEXAX	1.51	6.50	1.12	1.10	0.00	-15.0000	-0.1500	-17.5500	-0.1500	-20.1750	-0.1500	0.0000	0.0000
CASYW	0.54	0.81	0.62	0.41	0.00	-0.7500	-0.1500	-1.2375	-0.1500	-0.6000	-0.1500	0.0000	0.0000
LBKI	0.54	0.81	0.50	0.55	0.00	-3.0000	-0.2000	-1.8300	-0.2000	-4.9000	-0.2000	0.0000	0.0000
JAKS	0.24	0.00	0.25	0.27	0.00	0.0000	0.0000	-25.0000	-0.2000	-25.0000	-0.2000	0.0000	0.0000

### Material Aspects:

#### DFIN:

DFIN is an options electronic broker. EvercoreISI ("EvercoreISI") routes held and not-held option orders to DFIN which are executed through various unknown market centers. DFIN charges EvercoreISI a standard \$0.15 per contract executed. EvercoreISI pays no connectivity fees, no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, or any other arrangements otherwise stated herein this disclosure.

#### HAMILTON-AMEX:

HAME is an options floor broker on the AMEX. EvercoreISI ("EvercoreISI") routes held and not-held option orders to HAME which are executed through various unknown market centers. HAME charges EvercoreISI a standard \$0.15 per contract executed. EvercoreISI pays no connectivity fees, no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, or any other arrangements otherwise stated herein this disclosure.

#### HEXAX:

Evercore ISI pays exchange, regulatory, market data and clearing fees to HEXAX and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

#### CASYW:

Evercore ISI pays exchange, regulatory, market data and clearing fees to CASYW and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

#### LBKI:

Evercore ISI pays exchange, regulatory, market data and clearing fees to LBKI and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

#### JAKS:

Evercore ISI pays exchange, regulatory, market data and clearing fees to JAKS and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

## May 2021

## 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)
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Material Aspects:

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**May 2021**

**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)
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Material Aspects:

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**May 2021**

**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	5.76	42.80	51.44	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	90.44	51.59	92.20	93.33	0.00	-38.7315	-0.1500	-149.8935	-0.1500	-156.0540	-0.1500	0.0000	0.0000
HEXAX	7.18	36.51	5.56	5.24	0.00	-61.2900	-0.1500	-56.9250	-0.1500	-72.3000	-0.1500	0.0000	0.0000
CASYW	1.37	6.35	1.28	0.89	0.00	-11.2500	-0.1500	-29.6160	-0.1500	-25.8660	-0.1500	0.0000	0.0000
JAKS	1.01	5.56	0.96	0.53	0.00	-5.2000	-0.2000	-15.0000	-0.2000	-13.2000	-0.2000	0.0000	0.0000

**Material Aspects:**

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**HEXAX:**

Evercore ISI pays exchange, regulatory, market data and clearing fees to HEXAX and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

**CASYW:**

Evercore ISI pays exchange, regulatory, market data and clearing fees to CASYW and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

**JAKS:**

Evercore ISI pays exchange, regulatory, market data and clearing fees to JAKS and receives exchange rebates as credits where applicable Evercore ISI also receives incremental pricing benefits if certain volume thresholds are met

**June 2021**

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**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)

**Material Aspects:**

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**June 2021**

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**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)

**Material Aspects:**

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## June 2021

### 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	6.55	50.75	42.71	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	91.53	61.03	94.12	93.12	0.00	-26.1615	-0.1500	-103.7700	-0.1500	-123.8115	-0.1500	0.0000	0.0000
HEXAX	7.66	38.24	5.03	6.09	0.00	-67.6755	-0.1500	-107.4330	-0.1500	-79.1520	-0.1500	0.0000	0.0000
CASYW	0.43	0.74	0.47	0.34	0.00	-0.3000	-0.1500	-16.7970	-0.1500	-16.5000	-0.1500	0.0000	0.0000
JAKS	0.39	0.00	0.38	0.45	0.00	0.0000	0.0000	-19.6000	-0.2000	-19.4000	-0.2000	0.0000	0.0000

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