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

Generated on Mon Jul 14 2025 08:37:53 GMT-4 EDT

2nd Ouarter, 2025

April 2025

S&P 500 Stocks

			Non-Marketable	
	Market Orders	Marketable Limit	Limit Orders as % of	Other Orders as
on-Directed Orders as % of All	as % of Non-	Orders as % of Non-	Non-Directed	% of Non-
Orders	Directed Orders	Directed Orders	Orders	Directed Orders
100.00	100.00	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	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Marketable Limit	Ordere/cente ner	Paid/Received for	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment			
Citadel Securities LLC(CDRG)	32.72	32.72	0.00	0.00	0.00	0	0	0	0	0	0	0	0		
G1 Execution Services, LLC(ETMM)	24.75	24.75	0.00	0.00	0.00	0	0	0	0	0	0	0	0		
VIRTU Americas, LLC(NITE)	22.55	22.55	0.00	0.00	0.00	0	0	0	0	0	0	0	0		
Jane Street Capital, LLC(JNST)	9.07	9.07	0.00	0.00	0.00	0	0	0	0	0	0	0	0		
HRT FINANCIAL LP(HRTF)	8.16	8.16	0.00	0.00	0.00	0	0	0	0	0	0	0	0		
Two Sigma Securities, LLC(SOHO)	1.92	1.92	0.00	0.00	0.00	0	0	0	0	0	0	0	0		
UBS Securities, LLC(UBSS)	0.82	0.82	0.00	0.00	0.00	0	0	0	0	0	0	0	0		

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).

April 2025

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed	Marketable Limit Orders as % of Non-	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
Non-Directed Orders as % of All Orders	Orders	Directed Orders	Directed Orders	Orders
100.00	99.62	0.13	0.13	0.13

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		Paid/Received for	Marketable Limit	Paid/Received for	Limit Orders(cents	Net Payment	Net Payment Paid/Received for Other Orders(cents per hundred shares)
Citadel Securities LLC(CDRG)	34.94	34.95	0.00	0.00	100.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	23.00	23.09	0.00	0.00	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	20.08	20.03	100.00	0.00	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	9.66	9.69	0.00	0.00	0.00	0	0	0	0	0	0	0	0
HRT FINANCIAL LP(HRTF)	9.02	9.06	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	2.54	2.55	0.00	0.00	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	0.64	0.64	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Choe EDGX US Equities Exchange(EDGX)	0.13	0.00	0.00	100.00	0.00	0	0	0	0	0	0	0	0

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),

April 2025

Option Contracts

Summary

	Market Orders as	Marketable Limit	Non-Marketable Limit	Other Orders as %
	% of Non-Directed	Orders as % of Non-	Orders as % of Non-	of Non-Directed
Non-Directed Orders as % of All Orders	Orders	Directed Orders	Directed Orders	Orders
0.00	0.00	0.00	0.00	0.00

Venues														
														1
											Net Payment			4
							Net Payment		Net Payment		Paid/Received for		Net Payment	4
							Paid/Received for	Net Payment	Paid/Received for	Net Payment	Non-Marketable		Paid/Received for	4
							Market	Paid/Received for	Marketable Limit	Paid/Received for	Limit Orders(cents	Net Payment	Other	4
	Non-Directed		Marketable Limit	Non-Marketable		Net Payment Paid/Received for Market	Orders(cents per	Marketable Limit	Orders(cents per	Non-Marketable	per hundred	Paid/Received for	Orders(cents per	4
Venue - Non-directed Order Flow	Orders(%)	Market Orders(%)	Orders(%)	Limit Orders(%)	Other Orders(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	shares)	Other Orders(USD)	hundred shares)	4

### 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).

May 2025

S&P 500 Stocks

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
100.00	00.72	0.00	0.20	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		Paid/Received for		Paid/Received for	per hundred		
						Orders(O3D)	nunureu snares)	Olders(USD)	nunureu snares)	Lillit Orders(U3D)	Silates)	Other Orders(USD)	iluliuleu silales)
Citadel Securities LLC(CDRG)	34.18	34.31	0.00	16.67	0.00	0	0	0	0	0	0	0	- 0
G1 Execution Services, LLC(ETMM)	23.41	23.47	0.00	16.67	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	23.03	23.19	0.00	0.00	0.00	0	0	0	0	0	0	0	0
HRT FINANCIAL LP(HRTF)	8.71	8.77	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	7.21	7.26	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.78	1.79	0.00	0.00	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	1.22	1.23	0.00	0.00	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	0.19	0.00	100.00	16.67	0.00	0	0	0	0	0	0	0	0
New York Stock Exchange(NYSE)	0.19	0.00	0.00	33.33	0.00	0	0	0	0	0	0	0	0
Members Exchange(MEMX)	0.09	0.00	0.00	16.67	0.00	0	0	0	0	0	0	0	0

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).

May 2025

Non-S&P 500 Stocks

Summary

	Market Orders as	Marketable Limit	Non-Marketable Limit	Other Orders as %
	% of Non-Directed	Orders as % of Non-	Orders as % of Non-	of Non-Directed
Non-Directed Orders as % of All Orders	Orders	Directed Orders	Directed Orders	Orders
100.00	99 17	0.12	0.72	0.00

Venues													
	Non-Directed		Marketable Limit	Non-Marketable		Net Payment Paid/Received for Market	Orders(cents per	Paid/Received for Marketable Limit		Paid/Received for Non-Marketable	per hundred	Net Payment Paid/Received for	
Venue - Non-directed Order Flow	Orders(%)	Market Orders(%)	Orders(%)	Limit Orders(%)	Other Orders(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	shares)	Other Orders(USD)	hundred shares)
Citadel Securities LLC(CDRG)	31.76	32.25	0.00	6.67	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	25.50	25.99	0.00	0.00	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	21.61	21.90	100.00	0.00	0.00	0	0	0	0	0	0	0	0
HRT FINANCIAL LP(HRTF)	9.80	9.87	0.00	6.67	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	6.97	7.10	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.89	1.93	0.00	0.00	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	0.94	0.96	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Choe EDGX US Equities Exchange(EDGX)	0.47	0.00	0.00	26.67	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	0.47	0.00	0.00	26.67	0.00	0	0		0	0		0	0
New York Stock Exchange(NYSE)	0.47	0.00	0.00	26.67	0.00	0	0	0	0	0	0	0	0

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).

May 2025

Option Contracts

	Market Orders as	Marketable Limit	Non-Marketable Limit	Other Orders as %
	% of Non-Directed	Orders as % of Non-	Orders as % of Non-	of Non-Directed
Non-Directed Orders as % of All Orders	Orders	Directed Orders	Directed Orders	Orders

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

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).

# S&P 500 Stocks

Summar

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	100.00	0.00	0.00	0.00

### Venues

enues													
	Non-Directed		Marketable Limit	Non-Marketable		Net Payment Paid/Received for Market	Orders(cents per	Paid/Received for Marketable Limit	Orders(cents per	Net Payment Paid/Received for Non-Marketable	per hundred	Net Payment Paid/Received for	
Venue - Non-directed Order Flow	Orders(%)	Market Orders(%)	Orders(%)	Limit Orders(%)	Other Orders(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	shares)	Other Orders(USD)	hundred shares)
Citadel Securities LLC(CDRG)	35.06	35.06	0.00	0.00	0.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	24.63	24.63	0.00	0.00	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	18.47	18.47	0.00	0.00	0.00	0	0	0	0	0	0	0	0
HRT FINANCIAL LP(HRTF)	14.86	14.86	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	4.52	4.52	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.23	1.23	0.00	0.00	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	1.23	1.23	0.00	0.00	0.00	0	0	0	0	0	0	0	0

### 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).

June 2025

### Non-S&P 500 Stocks

Summary

	Market Orders as	Marketable Limit	Non-Marketable Limit	Other Orders as %
	% of Non-Directed	Orders as % of Non-	Orders as % of Non-	of Non-Directed
Non-Directed Orders as % of All Orders	Orders	Directed Orders	Directed Orders	Orders
100.00	99.47	0.00	0.13	0.40

#### Venues

¥ 011000													
	Non-Directed		Marketable Limit	Non-Marketable		Net Payment Paid/Received for Market	Orders(cents per	Paid/Received for Marketable Limit	Net Payment Paid/Received for Marketable Limit Orders(cents per	Paid/Received for Non-Marketable	per hundred	Net Payment Paid/Received for	
Venue - Non-directed Order Flow	Orders(%)	Market Orders(%)	Orders(%)	Limit Orders(%)	Other Orders(%)	Orders(USD)	hundred shares)	Orders(USD)	hundred shares)	Limit Orders(USD)	shares)	Other Orders(USD)	hundred shares)
Citadel Securities LLC(CDRG)	35.45	35.24	0.00	0.00	100.00	0	0	0	0	0	0	0	0
VIRTU Americas, LLC(NITE)	22.49	22.61	0.00	0.00	0.00	0	0	0	0	0	0	0	0
G1 Execution Services, LLC(ETMM)	17.99	18.09	0.00	0.00	0.00	0	0	0	0	0	0	0	0
HRT FINANCIAL LP(HRTF)	14.68	14.76	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Jane Street Capital, LLC(JNST)	5.95	5.98	0.00	0.00	0.00	0	0	0	0	0	0	0	0
Two Sigma Securities, LLC(SOHO)	1.72	1.73	0.00	0.00	0.00	0	0	0	0	0	0	0	0
UBS Securities, LLC(UBSS)	1.59	1.60	0.00	0.00	0.00	0	0	0	0	0	0	0	0
NASDAQ Execution Services, LLC(NSDQ)	0.13	0.00	0.00	100.00	0.00	0	0	0	0	0	0	0	0

# 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).

.------

June 2025

# 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

### Venue

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

# 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).

------