

BMO Capital Markets Corp - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2021

July 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)

Material Aspects:

July 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)

Material Aspects:

July 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	0.00	0.00	0.00	100.00

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)
CBOE GLOBAL MARKETS INC. (CBOE)	14.47	0.00	0.00	0.00	14.47	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	7,810.2000	0.1097
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX)	13.92	0.00	0.00	0.00	13.92	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	14,156.9800	0.1078
PHILADELPHIA OPTIONS EXCHANGE (PHLX)	12.96	0.00	0.00	0.00	12.96	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,934.7700	0.1418
NYSE AMEX OPTIONS (AMEX)	12.69	0.00	0.00	0.00	12.69	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,470.1800	0.0045
NYSE ARCA OPTIONS (ARCA)	6.67	0.00	0.00	0.00	6.67	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-6,701.7700	-0.2938
CBOE EDGX OPTIONS EXCHANGE (EDGO)	6.43	0.00	0.00	0.00	6.43	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	577.0700	0.0159
CBOE BZX OPTIONS EXCHANGE (BATO)	5.46	0.00	0.00	0.00	5.46	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	10,443.0000	0.4858
CBOE C2 OPTIONS EXCHANGE (C2OX)	4.55	0.00	0.00	0.00	4.55	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,757.8700	0.1845
NASDAQ OPTIONS MARKET (NSDQ)	4.34	0.00	0.00	0.00	4.34	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	4,190.7500	0.5375
MIAMI INTERNATIONAL SECURITIES EXCHANGE (MIAX)	4.17	0.00	0.00	0.00	4.17	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	260.9600	0.0740
BOX OPTIONS EXCHANGE (BOX)	3.77	0.00	0.00	0.00	3.77	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-1,240.4000	-0.0620
MIAX PEARL, LLC (MPRL)	3.01	0.00	0.00	0.00	3.01	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,652.0900	0.4513

Material Aspects:

CBOE GLOBAL MARKETS INC. (CBOE):

BMOC routes orders to various exchanges, alternative trading systems, including electronic communications networks, and other market centers including other Broker Dealers some of which provide BMOC with payment for order flow. Certain market centers offer cash credits for orders that provide liquidity to their books and charge explicit fees for orders that extract liquidity from their books. Periodically, the amount of credits that BMOC receives from one or more such market centers may exceed the amount that BMOC is charged. Such payments would constitute payment for order flow. Please be advised that for orders received by BMOC, BMOC receives order flow payments in varying amounts from US option exchanges market makers pursuant to the published marketing fee programs that have been adopted by the exchanges and approved by the SEC. Several option Exchanges have also adopted a maker taker market structure, in which exchange members are charged for orders that take liquidity from the exchange and receive a rebate for orders that provide liquidity to the exchange. The charges imposed or rebates offered by these exchanges affect the total cost of execution. The source and amount of any compensation received by BMOC in connection with any transaction for your account is available upon written request. A description of the fees and rebates offered by this venue, including the pricing tiers offered and the pricing for each tier, is available at: <https://capitalmarkets.bmo.com/filer/sharing/1683050170/3118/>

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August 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)

Material Aspects:

August 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

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Material Aspects:

August 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	0.00	0.00	0.00	100.00

Venues

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INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX)	14.76	0.00	0.00	0.00	14.76	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	11,119.2600	0.0531
CBOE GLOBAL MARKETS INC. (CBOE)	12.57	0.00	0.00	0.00	12.57	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	7,654.3900	0.0690
PHILADELPHIA OPTIONS EXCHANGE (PHLX)	10.27	0.00	0.00	0.00	10.27	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,864.2700	0.1089
NYSE AMEX OPTIONS (AMEX)	8.57	0.00	0.00	0.00	8.57	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	478.9000	0.0006
CBOE C2 OPTIONS EXCHANGE (C2OX)	7.84	0.00	0.00	0.00	7.84	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-4,160.5600	-0.1612
CBOE EDGX OPTIONS EXCHANGE (EDGO)	6.92	0.00	0.00	0.00	6.92	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-2,823.9300	-0.0650
MIAMI INTERNATIONAL SECURITIES EXCHANGE (MIAX)	6.58	0.00	0.00	0.00	6.58	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	478.6500	0.0859
NYSE ARCA OPTIONS (ARCA)	6.41	0.00	0.00	0.00	6.41	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-4,206.0700	-0.2235
CBOE BZX OPTIONS EXCHANGE (BATO)	5.49	0.00	0.00	0.00	5.49	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	4,991.0000	0.1170
MIAX EMERALD, LLC (EMLD)	3.82	0.00	0.00	0.00	3.82	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-960.1400	-0.1326
NASDAQ OPTIONS MARKET (NSDQ)	3.76	0.00	0.00	0.00	3.76	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	5,008.1400	0.4802
MIAX PEARL, LLC (MPRL)	3.75	0.00	0.00	0.00	3.75	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,465.7400	0.2172

Material Aspects:

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September 2021

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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 Marketable Limit 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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September 2021

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0.00	0.00	0.00	0.00	0.00

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Material Aspects:

September 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	0.00	0.00	0.00	100.00

Venues

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INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX)	16.81	0.00	0.00	0.00	16.81	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	15,240.3500	0.0719
CBOE GLOBAL MARKETS INC. (CBOE)	15.27	0.00	0.00	0.00	15.27	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	5,019.2200	0.0581
PHILADELPHIA OPTIONS EXCHANGE (PHLX)	10.29	0.00	0.00	0.00	10.29	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,181.0300	0.0639
NYSE AMEX OPTIONS (AMEX)	9.88	0.00	0.00	0.00	9.88	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	156.9600	0.0003
NYSE ARCA OPTIONS (ARCA)	9.09	0.00	0.00	0.00	9.09	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-8,030.9100	-0.2578
CBOE BZX OPTIONS EXCHANGE (BATO)	5.69	0.00	0.00	0.00	5.69	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	7,045.9500	0.2498
CBOE EDGX OPTIONS EXCHANGE (EDGO)	5.58	0.00	0.00	0.00	5.58	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-1,824.7000	-0.0768
CBOE C2 OPTIONS EXCHANGE (C2OX)	5.48	0.00	0.00	0.00	5.48	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	3,850.4600	0.1661
MIAMI INTERNATIONAL SECURITIES EXCHANGE (MIAX)	4.39	0.00	0.00	0.00	4.39	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	101.8400	0.0254
NASDAQ OPTIONS MARKET (NSDQ)	3.49	0.00	0.00	0.00	3.49	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	6,189.1200	0.4769
MIAX EMERALD, LLC (EMLD)	3.13	0.00	0.00	0.00	3.13	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,755.3400	0.3472
MIAX PEARL, LLC (MPRL)	3.13	0.00	0.00	0.00	3.13	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	5,028.7400	0.4053

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