# BMO Capital Markets Corp - Held NMS Stocks and Options Order Routing Public Report Generated on Thu Jun 29 2023 09:07:29 GMT-0400 (Eastern Daylight Time)

3rd Quarter, 2021

July	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

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 Order 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:

## 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/

INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX):

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#### PHILADELPHIA OPTIONS EXCHANGE (PHLX):

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#### NYSE AMEX OPTIONS (AMEX):

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#### CBOE EDGX OPTIONS EXCHANGE (EDGO):

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#### CBOE BZX OPTIONS EXCHANGE (BATO):

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 accives order flow payments in varying amounts from US option exchanges market market pursuant to the published marketing fee programs that have been adopted by the exchanges have also adopted by the 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 atthitus://capitalmarkets.bmo.com/filer/sharing/1683050170/3118/

#### CBOE C2 OPTIONS EXCHANGE (C2OX):

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 by payments would constitute payment for order flow. Please be advised that for orders received by BMOC, BMOC, esceives 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 for each tier, is available at:https://capitalmarkets.bmo.com/filer/sharing/1683050170/3118/

#### NASDAQ OPTIONS MARKET (NSDQ):

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#### MIAMI INTERNATIONAL SECURITIES EXCHANGE (MIAX):

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#### BOX OPTIONS EXCHANGE (BOX):

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#### MIAX PEARL, LLC (MPRL):

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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	
I	0.00	0.00	0.00	0.00	0.00	

#### Venues

	Venue - Non-	Non- Directed	Market Orders	Marketable Limit Orders	Non- Marketable	Other Orders	Net Payment Paid/Received for	Net Payment Paid/ Received for Market	Net Payment Paid/ Received for	Net Payment Paid/ Received for	Net Payment Paid/ Received for Non-	Net Payment Paid/ Received for Non-	Net Payment Paid/Received for	Net Payment Paid/ Received for Other
d	lirected	Orders (%)	(%)	(%)	Limit Orders	(%)	Market	Orders(cents per	Marketable Limit	Marketable Limit	Marketable Limit	Marketable Limit	Other	Orders(cents per
	Order	, ,	` '	` '	(%)		Orders(USD)	hundred shares)	Orders(USD)	Orders(cents per	Orders(USD)	Orders(cents per	Orders(USD)	hundred shares)
	Flow									hundred shares)		hundred shares)		

Material Aspects:

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## August 2021

## Non-S&P 500 Stocks

#### Summary

	<u>-</u>				
	Non-Directed Orders as % of All Orders	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
1	0.00	0.00	0.00	0.00	0.00

## Venues

Venue - Non- directed Order Flow	Non- Directed Orders 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:

# August 2021

# Options Summary

Non-Directed Orders as % of All Orders Market Orders as % of Non-Directed Orders Marketable Limit Orders as % of Non-Other Orders as % of Non-Directed Orders Non-Marketable Limit Orders as % of Non-Directed Orders 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)
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:
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX):

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#### NYSE AMEX OPTIONS (AMEX)

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#### CBOE C2 OPTIONS EXCHANGE (C2OX):

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#### CBOE EDGX OPTIONS EXCHANGE (EDGO):

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#### MIAMI INTERNATIONAL SECURITIES EXCHANGE (MIAX):

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#### NYSE ARCA OPTIONS (ARCA):

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#### CBOE BZX OPTIONS EXCHANGE (BATO)

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#### MIAX EMERALD, LLC (EMLD):

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#### NASDAQ OPTIONS MARKET (NSDQ):

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#### MIAX PEARL, LLC (MPRL):

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## September 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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## September 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-	Non- Directed	Market Orders	Marketable Limit Orders	Non- Marketable	Other Orders	Net Payment Paid/Received for	Net Payment Paid/ Received for Market	Net Payment Paid/ Received for	Net Payment Paid/ Received for	Net Payment Paid/ Received for Non-	Net Payment Paid/ Received for Non-	Net Payment Paid/Received for	Net Payment Paid/ Received for Other
d	lirected	Orders (%)	(%)	(%)	Limit Orders	(%)	Market	Orders(cents per	Marketable Limit	Marketable Limit	Marketable Limit	Marketable Limit	Other	Orders(cents per
	Order	, ,	` '	, ,	(%)	' '	Orders(USD)	hundred shares)	Orders(USD)	Orders(cents per	Orders(USD)	Orders(cents per	Orders(USD)	hundred shares)
	Flow				` '		` '	·	` ,	hundred shares)	, ,	hundred shares)	` '	, in the second

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		
Ì	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)
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

#### Material Aspects:

#### INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX):

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#### CROF GLOBAL MARKETS INC. (CROF)

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#### PHILADELPHIA OPTIONS EXCHANGE (PHLX):

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#### NYSE AMEX OPTIONS (AMEX)

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#### NYSE ARCA OPTIONS (ARCA):

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#### CBOE BZX OPTIONS EXCHANGE (BATO):

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#### CBOE EDGX OPTIONS EXCHANGE (EDGO):

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#### CBOE C2 OPTIONS EXCHANGE (C2OX):

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