

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

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4th Quarter, 2022

October 2022

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:

October 2022

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:

October 2022

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)
NYSE AMEX OPTIONS (AMXO)	79.23	0.00	0.00	0.00	79.23	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,995.1000	1.7311
CBOE BZX OPTIONS EXCHANGE (BATO)	3.97	0.00	0.00	0.00	3.97	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	13,343.5600	19.1138
CBOE GLOBAL MARKETS INC. (XCBO)	2.89	0.00	0.00	0.00	2.89	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	34,966.5925	9.1526
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX)	2.40	0.00	0.00	0.00	2.40	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	35,470.3800	15.0218
CBOE C2 OPTIONS EXCHANGE (C2OX)	1.75	0.00	0.00	0.00	1.75	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	28,260.2900	23.9970

Material Aspects:

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 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/1683049840/3115/>

CBOE GLOBAL MARKETS INC. (XCBO):

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CBOE C2 OPTIONS EXCHANGE (C2OX):

capitalmarkets.bmo.com/filer/sharing/1683049840/3115/

November 2022

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:

November 2022

Non-S&P 500 Stocks
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0.00	0.00	0.00	0.00	0.00

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Material Aspects:

November 2022

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

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NYSE AMEX OPTIONS (AMXO)	62.50	0.00	0.00	0.00	62.50	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CBOE GLOBAL MARKETS INC. (XCBO)	6.42	0.00	0.00	0.00	6.42	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	28,484.1975	8.1790
CBOE BZX OPTIONS EXCHANGE (BATO)	6.10	0.00	0.00	0.00	6.10	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	11,399.4800	23.1848
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX)	3.53	0.00	0.00	0.00	3.53	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	25,376.0450	11.9710
CBOE C2 OPTIONS EXCHANGE (C2OX)	3.23	0.00	0.00	0.00	3.23	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	15,549.3000	21.6489
NASDAQ OMX BX OPTIONS (XBXO)	2.72	0.00	0.00	0.00	2.72	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	13,961.3300	54.0529
NYSE ARCA OPTIONS (ARCO)	2.60	0.00	0.00	0.00	2.60	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-115.6100	-0.1018
PHILADELPHIA OPTIONS EXCHANGE (XPHO)	2.55	0.00	0.00	0.00	2.55	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	5,937.8000	14.1071
CBOE EDGX OPTIONS EXCHANGE (EDGO)	1.68	0.00	0.00	0.00	1.68	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	3,827.1250	10.2866

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December 2022

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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 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:

December 2022

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0.00	0.00	0.00	0.00	0.00

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Material Aspects:

December 2022

Options Summary

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100.00	0.00	0.00	0.00	100.00

Venues

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NYSE AMEX OPTIONS (AMXO)	77.42	0.00	0.00	0.00	77.42	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX)	3.88	0.00	0.00	0.00	3.88	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	11,689.4250	5.6547
CBOE GLOBAL MARKETS INC. (XCBO)	3.72	0.00	0.00	0.00	3.72	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	13,162.1350	4.1555
CBOE BZX OPTIONS EXCHANGE (BATO)	2.92	0.00	0.00	0.00	2.92	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	6,404.3300	13.0504
PHILADELPHIA OPTIONS EXCHANGE (XPHO)	1.81	0.00	0.00	0.00	1.81	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,710.0800	5.2241
NASDAQ OMX BX OPTIONS (XBXO)	1.42	0.00	0.00	0.00	1.42	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	5,185.6600	13.4045

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NASDAQ OMX BX OPTIONS (XBXO):

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