

BMO Capital Markets Corp. SEC Rule 606 Disclosure Statement

BMO Capital Markets Corp. ("BMO CMC" or "the Firm") is providing this report pursuant to Securities and Exchange Commission ("SEC" or "Commission") Rule 606 ("the Rule"). To obtain information about the rule, you may access the following web site addresses: <http://www.sec.gov/rules/final/34-43590.htm> and <http://www.sec.gov/interps/legal/mrslb13a.htm>.

Information Concerning Venues

BMO CMC makes a market in numerous equity securities, including those listed on the NASDAQ, NYSE, NYSE ARCA and BATS exchanges. BMO CMC, in its efforts to seek best execution, routes client orders to market centers, including national securities exchanges, alternative trading systems, electronic communication networks and broker/dealers. These market centers may offer credits/rebates or charge fees based upon whether routed orders contribute liquidity to (or remove liquidity from) the market center. In some cases, the credits/rebates offered by a market center may exceed the charges assessed such that a market center may make a payment to BMO CMC in relation to orders directed to such market center (maximum 33.5 mils per share). BMO CMC may also receive incremental pricing benefits from market centers based upon the aggregate trading volume generated by BMO CMC (including volume not associated with client orders).

BMO CMC may internalize, and trade as principal with, non-directed customer orders in such securities in which it makes a market. Where BMO CMC internalizes non-directed customer orders in those securities in which it makes a market, the Firm stands to share in 100% profits of whatever profits it generates by trading as principal with its customer's orders.

Notes regarding Conflicts of Interest relating to Market Centers Most Often Selected by the Firm

BMO CMC, in its efforts to seek best execution, selects execution venues for customer orders that have not been specifically instructed to be routed to a specific venue. For such non-directed customer orders, BMO CMC may route such orders to its affiliate, Clearpool Execution Services. Accordingly, the Firm may share indirectly in any profits that Clearpool Execution Services derives from the execution of the Firm's client orders.

Important Disclaimers

BMO CMC has supplied this data and prepared these reports solely for informational purposes pursuant to Rule 606 of the Securities Exchange Act of 1934. The information and data provided in the reports is not intended to and do not reflect all factors relevant to an analysis of a broker/dealer's best execution and order routing practices. In accordance with SEC Rule 606, upon written request, BMO CMC will disclose to clients the identity of the venue to which clients orders were routed for execution, whether the orders were directed or non-directed, and the time of the executions, if any, that resulted from such orders from the previous six months.

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

Generated on Thu Oct 24 2024 12:05:25 GMT-0400 (Eastern Daylight Time)

3rd Quarter, 2024

July 2024

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 2024

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 2024

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) (AMEX)	11.15	0.00	0.00	0.00	11.15	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,589.6500	3.1000
BOX OPTIONS EXCHANGE (XBOX) (BOX)	10.37	0.00	0.00	0.00	10.37	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-230.5500	-0.9200
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX) (XISX)	9.98	0.00	0.00	0.00	9.98	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	582.1200	2.4700
CBOE EDGX OPTIONS EXCHANGE (EDGO) (EDGO)	9.92	0.00	0.00	0.00	9.92	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	386.8100	1.5900
CBOE GLOBAL MARKETS INC. (XCBO) (CBOE)	9.78	0.00	0.00	0.00	9.78	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	986.7200	4.9100
MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) (MIAX)	9.50	0.00	0.00	0.00	9.50	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	486.1500	2.2400
ISE MERCURY, LLC (MCRY) (MCRY)	6.06	0.00	0.00	0.00	6.06	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	310.0000	0.8300
NYSE ARCA OPTIONS (ARCO) (ARCA)	6.06	0.00	0.00	0.00	6.06	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-479.7900	-7.7200
CBOE C2 OPTIONS EXCHANGE (C2OX) (C2OX)	5.25	0.00	0.00	0.00	5.25	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,902.0500	35.2400
MIAX EMERALD, LLC (EMLD) (EMLD)	5.03	0.00	0.00	0.00	5.03	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,198.5500	32.6900
PHILADELPHIA OPTIONS EXCHANGE (XPHO) (PHLX)	4.38	0.00	0.00	0.00	4.38	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	367.2300	7.7800
ISE GEMINI EXCHANGE (GMNI) (GMNI)	3.13	0.00	0.00	0.00	3.13	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-30.7400	-0.6100
NASDAQ OMX BX OPTIONS (XBXO) (NQBXO)	2.06	0.00	0.00	0.00	2.06	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	482.3400	55.8300
NASDAQ OPTIONS MARKET (XNDQ) (NSDQ)	1.92	0.00	0.00	0.00	1.92	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,201.3000	57.2500
MIAX PEARL, LLC (MPRL) (MPRL)	1.90	0.00	0.00	0.00	1.90	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,064.5400	55.7800

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)
MEMX Options (MEMX)	1.81	0.00	0.00	0.00	1.81	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,933.6900	58.7200
CBOE BZX OPTIONS EXCHANGE (BATO) (BATO)	1.70	0.00	0.00	0.00	1.70	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,765.4500	57.2100

Material Aspects:

NYSE AMEX OPTIONS (AMXO) (AMEX):

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/1729533281/3716/>

BOX OPTIONS EXCHANGE (XBOX) (BOX):

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/1729533281/3716/>

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

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/1729533281/3716/>

CBOE EDGX OPTIONS EXCHANGE (EDGO) (EDGO):

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/1729533281/3716/>

CBOE GLOBAL MARKETS INC. (XCBO) (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/1729533281/3716/>

MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) (MIAX):

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/1729533281/3716/>

ISE MERCURY, LLC (MCRY) (MCRY):

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/1729533281/3716/>

NYSE ARCA OPTIONS (ARCO) (ARCA):

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August 2024

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 2024

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:

August 2024

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) (AMEX)	10.54	0.00	0.00	0.00	10.54	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,704.0500	7.6300
ISE MERCURY, LLC (MCRY) (MCRY)	9.17	0.00	0.00	0.00	9.17	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	197.5500	0.5800
CBOE EDGX OPTIONS EXCHANGE (EDGO) (EDGO)	9.12	0.00	0.00	0.00	9.12	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	291.2700	1.4200
BOX OPTIONS EXCHANGE (XBOX) (BOX)	8.89	0.00	0.00	0.00	8.89	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-2,053.2500	-8.1700
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX) (XISX)	8.35	0.00	0.00	0.00	8.35	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	308.0400	1.4900
CBOE GLOBAL MARKETS INC. (XCBO) (CBOE)	8.12	0.00	0.00	0.00	8.12	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	337.0900	2.2500
MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) (MIAX)	7.97	0.00	0.00	0.00	7.97	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	245.1300	1.4400
MIAX EMERALD, LLC (EMLD) (EMLD)	7.48	0.00	0.00	0.00	7.48	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,024.4500	4.3500
NYSE ARCA OPTIONS (ARCO) (ARCA)	6.10	0.00	0.00	0.00	6.10	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-566.0900	-7.2100
PHILADELPHIA OPTIONS EXCHANGE (XPHO) (PHLX)	6.07	0.00	0.00	0.00	6.07	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	558.4000	5.5400
ISE GEMINI EXCHANGE (GMNI) (GMNI)	5.23	0.00	0.00	0.00	5.23	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-1,450.4400	-7.7700
CBOE C2 OPTIONS EXCHANGE (C2OX) (C2OX)	4.89	0.00	0.00	0.00	4.89	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,584.6500	39.7500
MIAX PEARL, LLC (MPRL) (MPRL)	1.69	0.00	0.00	0.00	1.69	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,966.2900	63.1600
CBOE BZX OPTIONS EXCHANGE (BATO) (BATO)	1.61	0.00	0.00	0.00	1.61	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,449.9500	62.6300
NASDAQ OPTIONS MARKET (XNDQ) (NSDQ)	1.61	0.00	0.00	0.00	1.61	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,536.1700	57.3000
MEMX Options (MEMX)	1.53	0.00	0.00	0.00	1.53	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	3,120.9600	56.7800

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)
NASDAQ OMX BX OPTIONS (XBXO) (NQBXO)	1.53	0.00	0.00	0.00	1.53	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	874.1100	61.6000
MIAX SAPPHIRE, LLC (SPHR) (SPHR)	0.10	0.00	0.00	0.00	0.10	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

NYSE AMEX OPTIONS (AMXO) (AMEX):

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ISE MERCURY, LLC (MCRY) (MCRY):

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CBOE EDGX OPTIONS EXCHANGE (EDGO) (EDGO):

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

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CBOE GLOBAL MARKETS INC. (XCBO) (CBOE):

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MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) (MIAX):

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MIAX EMERALD, LLC (EMLD) (EMLD):

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MIAX SAPPHIRE, LLC (SPHR) (SPHR):

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September 2024

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:

September 2024

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:

September 2024

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) (AMEX)	10.49	0.00	0.00	0.00	10.49	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	4,840.9500	9.2400
BOX OPTIONS EXCHANGE (XBOX) (BOX)	9.44	0.00	0.00	0.00	9.44	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	20.4500	0.0700
CBOE EDGX OPTIONS EXCHANGE (EDGO) (EDGO)	8.75	0.00	0.00	0.00	8.75	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	675.4600	2.3300
INTERNATIONAL SECURITIES EXCHANGE, LLC (XISX) (XISX)	8.61	0.00	0.00	0.00	8.61	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	203.9500	0.6500
MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) (MIAX)	8.27	0.00	0.00	0.00	8.27	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	615.2700	2.2800
ISE MERCURY, LLC (MCRY)	8.11	0.00	0.00	0.00	8.11	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	342.4000	0.7600
CBOE GLOBAL MARKETS INC. (XCBO) (CBOE)	7.34	0.00	0.00	0.00	7.34	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	611.6700	2.2100
ISE GEMINI EXCHANGE (GMNI) (GMNI)	7.31	0.00	0.00	0.00	7.31	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-915.8900	-3.0600
MIAX EMERALD, LLC (EMLD) (EMLD)	7.26	0.00	0.00	0.00	7.26	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,087.5000	3.1400
NYSE ARCA OPTIONS (ARCO) (ARCA)	5.02	0.00	0.00	0.00	5.02	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-33.1800	-0.4300
CBOE C2 OPTIONS EXCHANGE (C2OX) (C2OX)	3.37	0.00	0.00	0.00	3.37	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,596.8200	40.6000
PHILADELPHIA OPTIONS EXCHANGE (XPHO) (PHLX)	3.21	0.00	0.00	0.00	3.21	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	670.5800	14.3600
MIAX SAPPHIRE, LLC (SPHR) (SPHR)	2.74	0.00	0.00	0.00	2.74	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-4.1400	-0.1700

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)
NASDAQ OPTIONS MARKET (XNDQ) (NSDQ)	2.28	0.00	0.00	0.00	2.28	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,829.1000	55.6300
NASDAQ OMX BX OPTIONS (XBXX) (NQBXX)	2.07	0.00	0.00	0.00	2.07	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,180.7900	61.5300
CBOE BZX OPTIONS EXCHANGE (BATO) (BATO)	1.96	0.00	0.00	0.00	1.96	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	1,573.6000	58.8700
MIAX PEARL, LLC (MPRL) (MPRL)	1.94	0.00	0.00	0.00	1.94	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	2,955.9100	70.4600
MEMX Options (MEMX)	1.83	0.00	0.00	0.00	1.83	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	3,189.4000	57.6400

Material Aspects:

NYSE AMEX OPTIONS (AMXO) (AMEX):

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BOX OPTIONS EXCHANGE (XBOX) (BOX):

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CBOE EDGX OPTIONS EXCHANGE (EDGO) (EDGO):

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MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) (MIAX):

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CBOE BZX OPTIONS EXCHANGE (BATO) (BATO):

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MIAX PEARL, LLC (MPRL) (MPRL):

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MEMX Options (MEMX):

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