

SEC Rule 606 Report - BMO Capital Markets - 3rd Qtr, 2017

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

Securities Listed on New York Stock Exchange Euronext

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	0.02	0.01	99.96	60,147	15	7	60,125	0	0.02	0.01	99.96
BMO Capital Markets Corp.	60.89	73.33	71.43	60.88	36,623	11	5	36,607	0	0.03	0.01	99.96
Nasdaq Execution Services	7.74	0.00	0.00	7.74	4,654	0	0	4,654	0	0.00	0.00	100.00
CPEM	5.78	0.00	0.00	5.78	3,476	0	0	3,476	0	0.00	0.00	100.00
EMIN	4.70	0.00	0.00	4.70	2,824	0	0	2,824	0	0.00	0.00	100.00
New York Stock Exch	3.32	0.00	0.00	3.32	1,996	0	0	1,996	0	0.00	0.00	100.00
VIRTU Americas LLC	3.28	0.00	0.00	3.28	1,972	0	0	1,972	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	2.84	6.67	0.00	2.84	1,706	1	0	1,705	0	0.06	0.00	99.94
Maxim Group LLC	2.28	0.00	0.00	2.28	1,373	0	0	1,373	0	0.00	0.00	100.00
Tethys Technology, Inc.	1.57	0.00	0.00	1.57	946	0	0	946	0	0.00	0.00	100.00
NYSE Arca	1.29	0.00	0.00	1.29	776	0	0	776	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Securities Listed on The Nasdaq Stock Market

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	0.00	0.00	99.99	21,416	1	1	21,414	0	0.00	0.00	99.99
BMO Capital Markets Corp.	62.46	0.00	0.00	62.47	13,377	0	0	13,377	0	0.00	0.00	100.00
Nasdaq Execution Services	16.53	0.00	0.00	16.53	3,539	0	0	3,539	0	0.00	0.00	100.00
CPEM	4.95	0.00	0.00	4.95	1,060	0	0	1,060	0	0.00	0.00	100.00
VIRTU Americas LLC	4.39	0.00	0.00	4.39	940	0	0	940	0	0.00	0.00	100.00
EMIN	3.11	0.00	0.00	3.11	665	0	0	665	0	0.00	0.00	100.00
NYSE Arca	1.89	100.00	100.00	1.88	405	1	1	403	0	0.25	0.25	99.51
Maxim Group LLC	1.46	0.00	0.00	1.46	312	0	0	312	0	0.00	0.00	100.00
Credit Suisse	0.93	0.00	0.00	0.93	200	0	0	200	0	0.00	0.00	100.00
EPAR	0.60	0.00	0.00	0.60	129	0	0	129	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	0.60	0.00	0.00	0.60	128	0	0	128	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Securities Listed on NYSE MKT or other National Securities Exchange

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	0.02	0.05	99.93	4,190	1	2	4,187	0	0.02	0.05	99.93
BMO Capital Markets Corp.	25.92	0.00	50.00	25.91	1,086	0	1	1,085	0	0.00	0.09	99.91
NYSE Arca	12.79	0.00	0.00	12.80	536	0	0	536	0	0.00	0.00	100.00
BATY	11.84	0.00	0.00	11.85	496	0	0	496	0	0.00	0.00	100.00
EMIN	9.24	0.00	0.00	9.24	387	0	0	387	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	9.12	0.00	50.00	9.10	382	0	1	381	0	0.00	0.26	99.74
CPEM	6.83	0.00	0.00	6.83	286	0	0	286	0	0.00	0.00	100.00
J.P.Morgan Securities LLC	5.23	0.00	0.00	5.23	219	0	0	219	0	0.00	0.00	100.00
BATS Stock Exchange	4.80	0.00	0.00	4.80	201	0	0	201	0	0.00	0.00	100.00
VIRTU Americas LLC	2.55	0.00	0.00	2.56	107	0	0	107	0	0.00	0.00	100.00
Nasdaq Execution Services	2.22	0.00	0.00	2.22	93	0	0	93	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Exchange-Listed Options

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	15.22	61.86	22.92	1,248	190	772	286	0	15.22	61.86	22.92
DASH FINANCIAL TECHNOLOGIES LLC	35.66	7.37	52.98	7.69	445	14	409	22	0	3.15	91.91	4.94
1436	27.48	47.89	24.61	21.68	343	91	190	62	0	26.53	55.39	18.08
Wolverine Execution Svc.,	12.26	24.74	4.66	24.48	153	47	36	70	0	30.72	23.53	45.75
BMO Capital Markets Corp.	7.53	2.11	6.87	12.94	94	4	53	37	0	4.26	56.38	39.36
NYSE MKT	7.29	10.00	5.57	10.14	91	19	43	29	0	20.88	47.25	31.87
Student Options LLC	2.16	3.68	1.30	3.50	27	7	10	10	0	25.93	37.04	37.04
ICAP Corporates LLC	2.08	1.58	2.33	1.75	26	3	18	5	0	11.54	69.23	19.23
PUMX	1.36	0.00	0.00	5.94	17	0	0	17	0	0.00	0.00	100.00
BAYW	1.20	1.05	0.91	2.10	15	2	7	6	0	13.33	46.67	40.00
Bloomberg Tradebook LLC	1.20	0.00	0.00	5.24	15	0	0	15	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

[Material Aspects of Relationship with Route Venues](#)
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*Unknown is part of Other.

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