

SEC Rule 606 Report - BMO Capital Markets - 2nd Qtr, 2019

(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 | 0.29 | 0.00 | 99.71 | 86,818 | 250 | 0 | 86,568 | 0 | 0.29 | 0.00 | 99.71 |
| Credit Suisse Securities (USA) LLC | 22.04 | 0.00 | 0.00 | 22.11 | 19,136 | 0 | 0 | 19,136 | 0 | 0.00 | 0.00 | 100.00 |
| Clearpool Execution Services | 18.76 | 0.00 | 0.00 | 18.82 | 16,289 | 0 | 0 | 16,289 | 0 | 0.00 | 0.00 | 100.00 |
| BMO Capital Markets Corp. | 18.39 | 34.40 | 0.00 | 18.35 | 15,967 | 86 | 0 | 15,881 | 0 | 0.54 | 0.00 | 99.46 |
| NYSE MKT | 14.66 | 0.00 | 0.00 | 14.70 | 12,724 | 0 | 0 | 12,724 | 0 | 0.00 | 0.00 | 100.00 |
| SpeedRoute LLC. | 8.83 | 0.00 | 0.00 | 8.85 | 7,665 | 0 | 0 | 7,665 | 0 | 0.00 | 0.00 | 100.00 |
| New York Stock Exchange | 6.41 | 0.00 | 0.00 | 6.43 | 5,563 | 0 | 0 | 5,563 | 0 | 0.00 | 0.00 | 100.00 |
| Nesbitt Burns, Inc. | 4.42 | 1.20 | 0.00 | 4.43 | 3,836 | 3 | 0 | 3,833 | 0 | 0.08 | 0.00 | 99.92 |

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 | 100.00 | 58,890 | 0 | 0 | 58,890 | 0 | 0.00 | 0.00 | 100.00 |
| Credit Suisse Securities (USA) LLC | 30.19 | 0.00 | 0.00 | 30.19 | 17,780 | 0 | 0 | 17,780 | 0 | 0.00 | 0.00 | 100.00 |
| Clearpool Execution Services | 27.31 | 0.00 | 0.00 | 27.31 | 16,084 | 0 | 0 | 16,084 | 0 | 0.00 | 0.00 | 100.00 |
| BMO Capital Markets Corp. | 16.19 | 0.00 | 0.00 | 16.19 | 9,536 | 0 | 0 | 9,536 | 0 | 0.00 | 0.00 | 100.00 |
| Nasdaq Execution Services | 11.75 | 0.00 | 0.00 | 11.75 | 6,917 | 0 | 0 | 6,917 | 0 | 0.00 | 0.00 | 100.00 |
| SpeedRoute LLC. | 8.64 | 0.00 | 0.00 | 8.64 | 5,088 | 0 | 0 | 5,088 | 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 | 0.00 | 99.98 | 4,012 | 1 | 0 | 4,011 | 0 | 0.02 | 0.00 | 99.98 |
| Clearpool Execution Services | 19.59 | 0.00 | 0.00 | 19.60 | 786 | 0 | 0 | 786 | 0 | 0.00 | 0.00 | 100.00 |
| SpeedRoute LLC. | 19.02 | 0.00 | 0.00 | 19.02 | 763 | 0 | 0 | 763 | 0 | 0.00 | 0.00 | 100.00 |
| Nesbitt Burns, Inc. | 18.92 | 0.00 | 0.00 | 18.92 | 759 | 0 | 0 | 759 | 0 | 0.00 | 0.00 | 100.00 |
| Credit Suisse Securities (USA) LLC | 13.04 | 0.00 | 0.00 | 13.04 | 523 | 0 | 0 | 523 | 0 | 0.00 | 0.00 | 100.00 |
| BMO Capital Markets Corp. | 12.19 | 0.00 | 0.00 | 12.19 | 489 | 0 | 0 | 489 | 0 | 0.00 | 0.00 | 100.00 |
| NYSE MKT | 4.44 | 0.00 | 0.00 | 4.44 | 178 | 0 | 0 | 178 | 0 | 0.00 | 0.00 | 100.00 |
| NYSE Arca | 3.79 | 0.00 | 0.00 | 3.79 | 152 | 0 | 0 | 152 | 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 | 25.65 | 48.40 | 25.95 | 2,405 | 617 | 1,164 | 624 | 0 | 25.65 | 48.40 | 25.95 |
| Puma Capital, LLC. | 34.68 | 0.97 | 39.78 | 58.49 | 834 | 6 | 463 | 365 | 0 | 0.72 | 55.52 | 43.76 |
| NYSE MKT | 31.02 | 85.90 | 8.08 | 19.55 | 746 | 530 | 94 | 122 | 0 | 71.05 | 12.60 | 16.35 |
| DASH FINANCIAL TECHNOLOGIES LLC | 17.92 | 1.30 | 34.28 | 3.85 | 431 | 8 | 399 | 24 | 0 | 1.86 | 92.58 | 5.57 |
| Wolverine Execution Svc., | 7.40 | 10.37 | 6.36 | 6.41 | 178 | 64 | 74 | 40 | 0 | 35.96 | 41.57 | 22.47 |
| ISEG | 5.45 | 0.00 | 11.25 | 0.00 | 131 | 0 | 131 | 0 | 0 | 0.00 | 100.00 | 0.00 |

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

[Material Aspects of Relationship with Route Venues](#)

[Material Aspects of Relationship with Route Venues-PDF material aspects
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*Unknown is part of Other.

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