

## SEC Rule 606 Report - BMO Capital Markets - 4th 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 (%)
<b>Total</b>	<b>100.00</b>	<b>0.48</b>	<b>0.01</b>	<b>99.50</b>	<b>85,268</b>	<b>413</b>	<b>12</b>	<b>84,843</b>	<b>0</b>	<b>0.48</b>	<b>0.01</b>	<b>99.50</b>
BMO Capital Markets Corp.	69.44	69.98	0.00	69.45	59,210	289	0	58,921	0	0.49	0.00	99.51
Clearpool Execution Services	9.80	0.00	0.00	9.85	8,356	0	0	8,356	0	0.00	0.00	100.00
VIRTU Americas LLC	5.64	0.00	0.00	5.67	4,807	0	0	4,807	0	0.00	0.00	100.00
New York Stock Exch	4.78	29.06	0.00	4.66	4,073	120	0	3,953	0	2.95	0.00	97.05
Tethys Technology, Inc.	2.49	0.00	0.00	2.51	2,127	0	0	2,127	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	1.70	0.24	91.67	1.69	1,450	1	11	1,438	0	0.07	0.76	99.17
NYS	1.27	0.00	8.33	1.27	1,080	0	1	1,079	0	0.00	0.09	99.91
EPAR	0.64	0.00	0.00	0.64	545	0	0	545	0	0.00	0.00	100.00
NYSE Arca	0.59	0.00	0.00	0.59	503	0	0	503	0	0.00	0.00	100.00
Credit Suisse	0.58	0.00	0.00	0.58	491	0	0	491	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 (%)
<b>Total</b>	<b>100.00</b>	<b>0.01</b>	<b>0.00</b>	<b>99.99</b>	<b>39,661</b>	<b>3</b>	<b>0</b>	<b>39,658</b>	<b>0</b>	<b>0.01</b>	<b>0.00</b>	<b>99.99</b>
BMO Capital Markets Corp.	74.73	100.00	0.00	74.72	29,637	3	0	29,634	0	0.01	0.00	99.99
VIRTU Americas LLC	8.41	0.00	0.00	8.41	3,334	0	0	3,334	0	0.00	0.00	100.00
Clearpool Execution Services	8.33	0.00	0.00	8.33	3,303	0	0	3,303	0	0.00	0.00	100.00
Nasdaq Execution Services	2.48	0.00	0.00	2.48	985	0	0	985	0	0.00	0.00	100.00
XP Securities, LLC	1.28	0.00	0.00	1.28	506	0	0	506	0	0.00	0.00	100.00
EPAR	1.19	0.00	0.00	1.19	471	0	0	471	0	0.00	0.00	100.00
Maxim Group LLC	0.81	0.00	0.00	0.81	320	0	0	320	0	0.00	0.00	100.00
Tethys Technology, Inc.	0.80	0.00	0.00	0.80	319	0	0	319	0	0.00	0.00	100.00
NYSE Arca	0.48	0.00	0.00	0.48	190	0	0	190	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	0.44	0.00	0.00	0.44	173	0	0	173	0	0.00	0.00	100.00

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## 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 (%)
<b>Total</b>	<b>100.00</b>	<b>0.03</b>	<b>0.00</b>	<b>99.97</b>	<b>3,510</b>	<b>1</b>	<b>0</b>	<b>3,509</b>	<b>0</b>	<b>0.03</b>	<b>0.00</b>	<b>99.97</b>
BMO Capital Markets Corp.	28.32	100.00	0.00	28.30	994	1	0	993	0	0.10	0.00	99.90
Clearpool Execution Services	12.85	0.00	0.00	12.85	451	0	0	451	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	12.42	0.00	0.00	12.43	436	0	0	436	0	0.00	0.00	100.00
NYSE Arca	10.23	0.00	0.00	10.23	359	0	0	359	0	0.00	0.00	100.00
VIRTU Americas LLC	9.09	0.00	0.00	9.09	319	0	0	319	0	0.00	0.00	100.00
Tethys Technology, Inc.	7.92	0.00	0.00	7.92	278	0	0	278	0	0.00	0.00	100.00
Bats Y Exchange	6.07	0.00	0.00	6.07	213	0	0	213	0	0.00	0.00	100.00
BATS Stock Exchange	1.94	0.00	0.00	1.94	68	0	0	68	0	0.00	0.00	100.00
Credit Suisse	1.37	0.00	0.00	1.37	48	0	0	48	0	0.00	0.00	100.00
TWAP	1.34	0.00	0.00	1.34	47	0	0	47	0	0.00	0.00	100.00

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## Exchange-Listed Options

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
<b>Total</b>	<b>100.00</b>	<b>17.70</b>	<b>61.93</b>	<b>20.37</b>	<b>1,345</b>	<b>238</b>	<b>833</b>	<b>274</b>	<b>0</b>	<b>17.70</b>	<b>61.93</b>	<b>20.37</b>
DASH FINANCIAL TECHNOLOGIES LLC	42.90	13.03	62.91	8.03	577	31	524	22	0	5.37	90.81	3.81
DePaola Trading Inc	35.91	64.29	31.45	24.82	483	153	262	68	0	31.68	54.24	14.08
Puma Capital, LLC.	6.99	1.68	0.00	32.85	94	4	0	90	0	4.26	0.00	95.74
BMO Capital Markets Corp.	6.84	3.36	4.92	15.69	92	8	41	43	0	8.70	44.57	46.74
ICAP Corporates LLC	3.64	10.92	0.48	6.93	49	26	4	19	0	53.06	8.16	38.78
Dynamex Trading	1.19	0.42	0.00	5.47	16	1	0	15	0	6.25	0.00	93.75
BAYW	0.89	3.78	0.00	1.09	12	9	0	3	0	75.00	0.00	25.00
Sunrise Brokers LLC	0.52	0.00	0.00	2.55	7	0	0	7	0	0.00	0.00	100.00
Wolverine Execution Svc.,	0.52	2.10	0.24	0.00	7	5	2	0	0	71.43	28.57	0.00
Bloomberg Tradebook LLC	0.22	0.00	0.00	1.09	3	0	0	3	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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