

SEC Rule 606 Report - BMO Capital Markets - 2nd Qtr, 2018

(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	0.57	0.00	99.43	90,837	518	0	90,319	0	0.57	0.00	99.43
Clearpool Execution Services	42.50	0.00	0.00	42.74	38,605	0	0	38,605	0	0.00	0.00	100.00
BMO Capital Markets Corp.	18.25	6.18	0.00	18.32	16,582	32	0	16,550	0	0.19	0.00	99.81
AMER	10.45	0.00	0.00	10.51	9,491	0	0	9,491	0	0.00	0.00	100.00
SpeedRoute LLC.	7.72	0.00	0.00	7.77	7,014	0	0	7,014	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	6.12	1.93	0.00	6.14	5,555	10	0	5,545	0	0.18	0.00	99.82
New York Stock Exchange	5.77	73.17	0.00	5.38	5,238	379	0	4,859	0	7.24	0.00	92.76
VIRTU Americas LLC	4.28	0.00	0.00	4.30	3,887	0	0	3,887	0	0.00	0.00	100.00
NYSE Arca	1.13	0.00	0.00	1.13	1,022	0	0	1,022	0	0.00	0.00	100.00
Maxim Group LLC	0.91	0.00	0.00	0.91	826	0	0	826	0	0.00	0.00	100.00
Nasdaq Execution Services	0.46	0.00	0.00	0.46	416	0	0	416	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	58,151	1	2	58,148	0	0.00	0.00	99.99
Clearpool Execution Services	48.42	0.00	0.00	48.42	28,156	0	0	28,156	0	0.00	0.00	100.00
BMO Capital Markets Corp.	22.22	0.00	50.00	22.22	12,919	0	1	12,918	0	0.00	0.01	99.99
Maxim Group LLC	11.86	0.00	0.00	11.86	6,895	0	0	6,895	0	0.00	0.00	100.00
Nasdaq Execution Services	6.12	0.00	0.00	6.12	3,561	0	0	3,561	0	0.00	0.00	100.00
SpeedRoute LLC.	4.64	0.00	0.00	4.64	2,700	0	0	2,700	0	0.00	0.00	100.00
VIRTU Americas LLC	3.48	0.00	0.00	3.48	2,024	0	0	2,024	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	0.76	0.00	0.00	0.76	444	0	0	444	0	0.00	0.00	100.00
BATS Stock Exchange	0.61	100.00	0.00	0.61	355	1	0	354	0	0.28	0.00	99.72
NYSE Arca	0.36	0.00	50.00	0.36	210	0	1	209	0	0.00	0.48	99.52
BATS Y Exchange	0.32	0.00	0.00	0.32	188	0	0	188	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	0.16	0.02	99.82	5,023	8	1	5,014	0	0.16	0.02	99.82
Clearpool Execution Services	25.12	0.00	0.00	25.17	1,262	0	0	1,262	0	0.00	0.00	100.00
Nesbitt Burns, Inc.	23.17	0.00	0.00	23.21	1,164	0	0	1,164	0	0.00	0.00	100.00
SpeedRoute LLC.	14.10	0.00	0.00	14.12	708	0	0	708	0	0.00	0.00	100.00
BMO Capital Markets Corp.	12.68	50.00	0.00	12.62	637	4	0	633	0	0.63	0.00	99.37
VIRTU Americas LLC	5.77	0.00	0.00	5.78	290	0	0	290	0	0.00	0.00	100.00
NYSE Arca	4.60	50.00	0.00	4.53	231	4	0	227	0	1.73	0.00	98.27
AMER	3.19	0.00	0.00	3.19	160	0	0	160	0	0.00	0.00	100.00
Credit Suisse Securities (USA) LLC	2.99	0.00	0.00	2.99	150	0	0	150	0	0.00	0.00	100.00
New York Stock Exchange	2.47	0.00	0.00	2.47	124	0	0	124	0	0.00	0.00	100.00
Puma Capital, LLC.	2.17	0.00	0.00	2.17	109	0	0	109	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	18.21	24.10	57.69	3,789	690	913	2,186	0	18.21	24.10	57.69
Puma Capital, LLC.	33.89	3.62	5.26	55.40	1,284	25	48	1,211	0	1.95	3.74	94.31
NYSE MKT	23.01	72.03	16.65	10.20	872	497	152	223	0	57.00	17.43	25.57
DASH FINANCIAL TECHNOLOGIES LLC	19.66	3.04	65.06	5.95	745	21	594	130	0	2.82	79.73	17.45
BMO Capital Markets Corp.	10.40	4.20	5.59	14.36	394	29	51	314	0	7.36	12.94	79.70
GFI Group	4.57	0.00	2.30	6.95	173	0	21	152	0	0.00	12.14	87.86
Wolverine Execution Svc.,	2.69	13.33	0.22	0.37	102	92	2	8	0	90.20	1.96	7.84
Dynamex Trading	2.06	1.59	0.00	3.06	78	11	0	67	0	14.10	0.00	85.90
ICAP Corporates LLC	1.87	1.59	1.20	2.24	71	11	11	49	0	15.49	15.49	69.01
ISEG	0.79	0.00	3.29	0.00	30	0	30	0	0	0.00	100.00	0.00
Sunrise Brokers LLC	0.58	0.00	0.00	1.01	22	0	0	22	0	0.00	0.00	100.00

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

[Material Aspects of Relationship with Route Venues](#)
[How to read this report](#)

*Unknown is part of Other.

© Copyright 2018 CoreOne Technologies.
All Rights Reserved.