

MINT GLOBAL MARKETS, INC. (SPTD) - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2020

January 2020

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
28.24	40.20	33.87	25.94	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)
SPEEDROUTE LLC (SPDR)	25.83	11.94	9.52	4.38	0.00	111.84	15	155.5035	15	54.9195	15	0	0
Lampost Capital, L.C (LAMP)	9.78	0.00	0.26	9.52	0.00	0	-23.8	-39.1153	-23.8	-123.5339	-23.8	0	0
CUTTONE & CO., LLC (TTUC)	26.70	11.41	10.25	5.03	0.00	105.504	15	173.496	15	57.918	15	0	0
CODA MARKETS, INC. (CODA)	26.57	11.52	10.36	4.69	0.00	-74.2616	-9.22	-107.0673	-9.22	-48.8826	-9.22	0	0

Material Aspects:

SPEEDROUTE LLC (SPDR):

[Mint does not receive payment from SpeedRoute (SPDR) for directing order flow. Since the execution fee or rebate are not based on different security types (S&P or non-S&P) or order types (Market or Marketable Limit, or Non-Marketable Limit), we calculate a flat rate for all types, per share. Then we use that per share amount to fill the right side of the 606 report, multiply it to those different filled shares, convert it to "cents per hundred shares", and display it on the 606 report.]

Lampost Capital, L.C (LAMP):

[Mint receives payment from Lampost Capital L.C. (LAMP) for directing order flow. Payment varies based upon a number of factors including but not limited to: Size of order, time of order placement, whether an order is marketable at the time of order entry, the underlying price of the security and any special handling instructions. Since the execution fee or rebate are not based on different security types (S&P or non-S&P) or order types (Market or Marketable Limit, or Non-Marketable Limit), we calculate a flat rate for all types, per share. Then we use that per share amount to fill the right side of the 606 report, multiply it to those different filled shares, convert it to "cents per hundred shares", and display it on the 606 report.]

CUTTONE & CO., LLC (TTUC):

[Mint does not receive payment from DriveWealth (TTUC) for directing order flow. Since the execution fee or rebate are not based on different security types (S&P or non-S&P) or order types (Market or Marketable Limit, or Non-Marketable Limit), we calculate a flat rate for all types, per share. Then we use that per share rate to fill the right side of the 606 report, multiply it to those different filled shares, convert it to "cents per hundred shares", and display it on the 606 report.]

CODA MARKETS, INC. (CODA):

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January 2020

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
20.90	34.64	35.46	29.89	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)
Lampost Capital, L.C (LAMP)	11.20	0.00	0.55	10.65	0.00	0	-23.8	-35.2311	-23.8	-212.9791	-23.8	0	0
SPEEDROUTE LLC (SPDR)	30.16	10.68	12.72	6.75	0.00	580.989	15	632.6265	15	119.1405	15	0	0
CODA MARKETS, INC. (CODA)	29.73	10.95	12.05	6.72	0.00	-214.1843	-9.22	-260.6134	-9.22	-56.2697	-9.22	0	0
CUTTONE & CO., LLC (TTUC)	27.45	10.37	11.47	5.62	0.00	358.8195	15	407.532	15	96.813	15	0	0

Material Aspects:

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January 2020

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

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
0.13	0.00	100.00	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:

February 2020

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
33.92	35.48	30.50	34.02	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)
CODA MARKETS, INC. (CODA)	27.37	11.18	8.98	7.21	0.00	-85.6987	-9.11	-137.7532	-9.11	-71.8223	-9.11	0	0
SPEEDROUTE LLC (SPDR)	26.84	11.26	9.49	6.08	0.00	182.5575	15	240.561	15	95.4105	15	0	0
CUTTONE & CO., LLC (TTUC)	26.33	10.76	8.93	6.65	0.00	145.947	15	190.1235	15	86.8335	15	0	0
Lampost Capital, L C (LAMP)	13.26	0.00	0.62	12.64	0.00	0	-24.38	-5.4953	-24.38	-322.9594	-24.38	0	0

Material Aspects:

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CUTTONE & CO., LLC (TTUC):

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February 2020

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
21.96	33.90	35.45	30.66	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)
Lampost Capital, L.C (LAMP)	11.62	0.00	0.81	10.80	0.00	0	-24.38	-44.0132	-24.38	-235.6376	-24.38	0	0
CODA MARKETS, INC. (CODA)	29.46	10.91	11.94	6.61	0.00	-243.2088	-9.11	-254.3239	-9.11	-58.7258	-9.11	0	0
SPEEDROUTE LLC (SPDR)	29.23	10.60	11.89	6.74	0.00	381.4875	15	517.6905	15	162.036	15	0	0
CUTTONE & CO., LLC (TTUC)	27.80	10.40	11.29	6.11	0.00	281.8665	15	364.3845	15	89.046	15	0	0

Material Aspects:

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SPEEDROUTE LLC (SPDR):

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CUTTONE & CO., LLC (TTUC):

[Mint does not receive payment from DriveWealth (TTUC) for directing order flow. Since the execution fee or rebate are not based on different security types (S&P or non-S&P) or order types (Market or Marketable Limit, or Non-Marketable Limit), we calculate a flat rate for all types, per share. Then we use that per share rate to fill the right side of the 606 report, multiply it to those different filled shares, convert it to "cents per hundred shares", and display it on the 606 report.]

February 2020

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
5.89	0.00	0.00	100.00	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)
VOLANT EXECUTION, LLC (CMSP)	53.33	0.00	0.00	53.33	0.00								
Lampost Capital, L.C (LAMP)	33.33	0.00	0.00	33.33	0.00								

Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

[Mint does not receive payment nor do we pay for routing for Volant (CMSP).]

Lampost Capital, L.C (LAMP):

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March 2020

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
30.79	27.99	33.46	38.55	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)
SPEEDROUTE LLC (SPDR)	6.58	2.95	1.81	1.82	0.00	102.7005	15	102.408	15	41.775	15	0	0
CODA MARKETS, INC. (CODA)	32.16	12.11	10.64	9.41	0.00	-241.6435	-9.12	-534.5269	-9.12	-259.9008	-9.12	0	0
CUTTONE & CO., LLC (TTUC)	30.98	11.62	10.46	8.90	0.00	332.211	15	927.816	15	370.5885	15	0	0
Lampost Capital, L.C	26.63	0.00	8.86	17.77	0.00	0	-4.84	-261.4945	-4.84	-223.6337	-4.84	0	0

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(LAMP)													

Material Aspects:

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March 2020

Non-S&P 500 Stocks

Summary

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22.48	28.72	35.23	36.05	0.00

Venues

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CODA MARKETS, INC. (CODA)	30.79	11.44	11.89	7.46	0.00	-693.9171	-9.12	-561.1919	-9.12	-153.9246	-9.12	0	0
CUTTONE & CO., LLC (TTUC)	30.28	11.39	11.47	7.42	0.00	1,248.381	15	1,028.0835	15	318.48	15	0	0
Lampost Capital, L.C (LAMP)	19.11	0.00	5.92	13.19	0.00	0	-4.84	-130.1732	-4.84	-141.6755	-4.84	0	0
SPEEDROUTE LLC (SPDR)	12.65	3.90	6.34	2.41	0.00	569.571	15	712.9455	15	250.263	15	0	0

Material Aspects:

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March 2020

Options

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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: