

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

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1st Quarter, 2021

January 2021

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
34.05	42.79	36.17	21.04	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)	29.41	20.44	8.77	0.20	0.00	91.0835	4.14434	50.9576	4.14434	0.3324	4.14434	0	0
CODA MARKETS, INC. (CODA)	25.75	11.27	8.77	5.71	0.00	-112.8669	-9.35413	-77.5691	-9.35413	-33.0659	-9.35413	0	0
CUTTONE & CO., LLC (TTUC)	23.90	10.62	8.82	4.46	0.00	171.3888	14.34	150.7994	14.34	13.4323	14.34	0	0
Lampost Capital, L.C (LAMP)	20.39	0.00	9.72	10.67	0.00	0	-1.26041	-12.9636	-1.26041	-2.4852	-1.26041	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.]

CODA MARKETS, INC. (CODA):

[Mint receives payment from CODA Markets (CODA) 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.]

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.]

January 2021

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
21.74	31.35	30.34	38.31	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)	25.59	8.99	7.05	9.55	0.00	-284.2168	-9.35413	-516.5201	-9.35413	-203.5103	-9.35413	0	0
Lampost Capital, L.C (LAMP)	24.76	0.00	7.22	17.55	0.00	0	-1.26041	-77.9509	-1.26041	-44.4544	-1.26041	0	0
CUTTONE & CO., LLC (TTUC)	21.05	6.57	6.29	8.19	0.00	301.3666	14.34	903.3512	14.34	314.0359	14.34	0	0
SPEEDROUTE LLC (SPDR)	20.03	14.29	5.54	0.20	0.00	194.1872	4.14434	202.9674	4.14434	5.8651	4.14434	0	0

Material Aspects:

CODA MARKETS, INC. (CODA):

[Mint receives payment from CODA Markets (CODA) 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.]

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):

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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.]

January 2021

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
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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
2.17	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)	40.00	0.00	0.00	40.00	0.00	0	0	0	0	0	0	0	0

Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

[Mint does not receive payment no do we pay for routing for Volant (CMSP).]

February 2021

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
34.35	21.78	31.48	46.74	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)
Lamport Capital, L.C (LAMP)	33.74	0.00	9.50	24.24	0.00	0	-3.9899	-41.2408	-3.9899	-37.7999	-3.9899	0	0
CODA MARKETS, INC. (CODA)	26.09	5.70	8.27	12.12	0.00	-26.8374	-9.11442	-102.7633	-9.11442	-28.6995	-9.11442	0	0
CUTTONE & CO., LLC (TTUC)	21.26	5.08	6.21	9.96	0.00	35.375	14.69	107.3457	14.69	25.5165	14.69	0	0
SPEEDROUTE LLC (SPDR)	18.75	10.94	7.45	0.36	0.00	12.3067	3.11972	23.1087	3.11972	0.7986	3.11972	0	0

Material Aspects:

Lamport Capital, L.C (LAMP):

[Mint receives payment from Lamport 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.]

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[Mint receives payment from CODA Markets (CODA) 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.]

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.]

February 2021

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
19.27	33.89	30.64	35.47	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)	25.08	8.87	6.88	9.33	0.00	-340.3698	-9.11442	-665.925	-9.11442	-223.1146	-9.11442	0	0
Lampost Capital, L.C (LAMP)	24.29	0.00	7.09	17.20	0.00	0	-3.9899	-247.0786	-3.9899	-165.8681	-3.9899	0	0
SPEEDROUTE LLC (SPDR)	23.06	16.99	5.77	0.30	0.00	218.7451	3.11972	208.3021	3.11972	6.6294	3.11972	0	0
CUTTONE & CO., LLC (TTUC)	20.20	6.99	5.65	7.56	0.00	330.6028	14.69	1,046.9225	14.69	289.4018	14.69	0	0

Material Aspects:

CODA MARKETS, INC. (CODA):

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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.]

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 2021

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
4.70	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)	35.00	0.00	0.00	35.00	0.00	0	0	0	0	0	0	0	0

Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

[Mint does not receive payment no do we pay for routing for Volant (CMSP).]

March 2021

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
37.93	16.50	38.77	44.72	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)
Lamport Capital, L.C (LAMP)	31.80	0.00	9.98	21.82	0.00	0	-9.56286	-195.439	-9.56286	-87.3022	-9.56286	0	0
CUTTONE & CO., LLC (TTUC)	25.92	4.03	10.02	11.87	0.00	38.4359	14.64	244.9243	14.64	100.9413	14.64	0	0
CODA MARKETS, INC. (CODA)	25.36	4.60	10.02	10.74	0.00	-22.4556	-8.79094	-212.1043	-8.79094	-38.15	-8.79094	0	0
SPEEDROUTE LLC (SPDR)	16.88	7.87	8.74	0.26	0.00	19.0491	4.22956	72.6347	4.22956	4.6314	4.22956	0	0

Material Aspects:

Lampost Capital, L.C (LAMP):

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March 2021

Non-S&P 500 Stocks

Summary

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20.44	30.37	24.50	45.13	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)	27.45	0.00	5.78	21.67	0.00	0	-9.56286	-504.701	-9.56286	-798.8871	-9.56286	0	0
CODA MARKETS, INC. (CODA)	24.42	7.35	5.73	11.33	0.00	-475.0369	-8.79094	-560.9903	-8.79094	-376.7225	-8.79094	0	0
CUTTONE & CO., LLC (TTUC)	23.82	7.39	5.43	11.00	0.00	838.3947	14.64	828.3722	14.64	692.5452	14.64	0	0
SPEEDROUTE LLC (SPDR)	19.62	14.30	5.10	0.21	0.00	422.6109	4.22956	215.9161	4.22956	13.0423	4.22956	0	0

Material Aspects:

Lampost Capital, L.C (LAMP):

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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.]

March 2021

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
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)
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Material Aspects: