

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

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2nd Quarter, 2020

April 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
28.72	24.59	28.37	47.04	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)
CODA MARKETS, INC. (CODA)	32.50	11.60	9.11	11.80	0.00	-238.9451	-8.83	-666.355	-8.83	-297.2054	-8.83	0	0
CUTTONE & CO., LLC (TTUC)	32.34	11.86	8.86	11.63	0.00	395.562	15	1,006.197	15	475.3515	15	0	0
Lampost Capital, L.C (LAMP)	31.56	0.00	8.79	22.77	0.00	0	-2.5	-177.2522	-2.5	-174.353	-2.5	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.]

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.]

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April 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
20.46	32.83	24.97	42.21	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)	34.64	15.93	8.40	10.30	0.00	-598.252	-8.83	-552.7722	-8.83	-221.1421	-8.83	0	0
CUTTONE & CO., LLC (TTUC)	33.64	15.18	8.31	10.14	0.00	1,126.425	15	962.547	15	338.3895	15	0	0
Lampost Capital, L.C (LAMP)	27.24	0.00	8.77	18.47	0.00	0	-2.5	-156.361	-2.5	-81.9098	-2.5	0	0
SPEEDROUTE LLC (SPDR)	0.15	0.03	0.13	0.00	0.00	77.7	21	194.8233	21	0	21	0	0

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April 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
0.10	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)	100.00	0.00	0.00	100.00	0.00								

Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

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

May 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
27.90	17.83	41.40	40.77	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)	35.78	8.56	15.94	11.27	0.00	-44.1236	-8.75	-518.8322	-8.75	-210.4594	-8.75	0	0
CUTTONE & CO., LLC (TTUC)	33.45	7.81	14.85	10.79	0.00	74.7639	14.84	657.4521	14.84	288.0429	14.84	0	0
Lampost Capital, L.C (LAMP)	24.55	0.00	6.76	17.79	0.00	0	-0.89	-18.9651	-0.89	-24.6492	-0.89	0	0

Material Aspects:

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May 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
17.81	29.21	33.28	37.51	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)
CUTTONE & CO., LLC (TTUC)	38.54	13.26	14.00	11.29	0.00	521.7714	14.84	1,331.4581	14.84	336.8101	14.84	0	0
CODA MARKETS, INC. (CODA)	37.83	12.95	13.87	11.01	0.00	-249.5098	-8.75	-652.89	-8.75	-187.0995	-8.75	0	0
SPEEDROUTE LLC (SPDR)	0.24	0.12	0.09	0.03	0.00	43.505	11	74.58	11	1.595	11	0	0
Lampost Capital, L.C (LAMP)	22.39	0.00	7.06	15.33	0.00	0	-0.89	-42.5662	-0.89	-18.0315	-0.89	0	0

Material Aspects:

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May 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
0.00	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:

June 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
25.94	17.67	47.10	35.23	0.00

Venues

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SPEEDROUTE LLC (SPDR)	6.49	2.24	4.16	0.10	0.00	1.5501	0.743	10.4704	0.743	0.1709	0.743	0	0
Lampost Capital, L.C (LAMP)	30.71	0.00	13.56	17.15	0.00	0	-4.48	-198.5505	-4.48	-129.877	-4.48	0	0
CODA MARKETS, INC. (CODA)	29.71	7.16	13.84	8.71	0.00	-116.7743	-8.94	-362.8755	-8.94	-173.3439	-8.94	0	0
CUTTONE & CO., LLC (TTUC)	28.24	7.21	12.37	8.66	0.00	192.0105	15	540.8865	15	253.8255	15	0	0

Material Aspects:

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17.09	34.30	33.34	32.36	0.00

Venues

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SPEEDROUTE LLC (SPDR)	11.25	7.55	3.41	0.30	0.00	26.5808	0.743	23.2459	0.743	1.7914	0.743	0	0
CODA MARKETS, INC. (CODA)	31.93	12.96	10.71	8.26	0.00	-577.0913	-8.94	-966.7493	-8.94	-320.98	-8.94	0	0
CUTTONE & CO., LLC (TTUC)	30.60	12.26	10.15	8.19	0.00	956.6055	15	1,325.0656	15	341.646	15	0	0
Lampost Capital, L.C (LAMP)	26.28	0.00	10.51	15.76	0.00	0	-4.48	-376.2246	-4.48	-261.5576	-4.48	0	0

Material Aspects:**SPEEDROUTE LLC (SPDR):**

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June 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
0.00	0.00	0.00	0.00	0.00

Venues

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Material Aspects: