

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

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2nd Quarter, 2021

April 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
35.76	25.01	47.59	27.40	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)	26.36	6.53	12.64	7.20	0.00	-116.2585	-9.1545	-134.1693	-9.1545	-17.9703	-9.1545	0	0
CUTTONE & CO., LLC (TTUC)	25.01	6.37	11.96	6.68	0.00	101.3358	14.88	172.6824	14.88	56.297	14.88	0	0
Lampost Capital, L.C (LAMP)	24.70	0.00	11.34	13.36	0.00	0	0	-59.5902	-5.19345	-33.2599	-5.19345	0	0
SPEEDROUTE LLC (SPDR)	23.87	12.12	11.60	0.16	0.00	66.3597	3.79205	36.5595	3.79205	0.292	3.79205	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. Payments received from CODA averaged \$0.000893 per share for the period 2QTR2021. 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, which is \$0.000893 per share. Then we use \$0.000893 per share 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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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. Payments received from LAMP averaged \$0.0004007 per share for the period 2QTR2021. 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, which is \$0.0004007 per share. Then we use \$0.0004007 per share 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 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
20.79	35.56	24.47	39.97	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)	24.43	0.00	5.48	18.95	0.00	0	0	-184.1187	-5.19345	-172.6817	-5.19345	0	0
CODA MARKETS, INC. (CODA)	24.20	8.89	5.65	9.67	0.00	-130.404	-9.1545	-422.0737	-9.1545	-142.9741	-9.1545	0	0
CUTTONE & CO., LLC (TTUC)	24.00	8.88	5.47	9.65	0.00	270.1836	14.88	600.1669	14.88	259.4536	14.88	0	0
SPEEDROUTE LLC (SPDR)	21.93	16.92	4.85	0.17	0.00	124.6276	3.79205	135.0887	3.79205	4.4822	3.79205	0	0

Material Aspects:

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April 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
0.76	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)

Material Aspects:

May 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
32.05	14.42	28.85	56.73	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)	34.73	0.00	7.18	27.55	0.00	0	0	-38.0745	-3.3705	-25.5157	-3.3705	0	0
CODA MARKETS, INC. (CODA)	25.87	3.95	7.89	14.04	0.00	-16.1204	-8.69212	-74.322	-8.69212	-41.404	-8.69212	0	0
CUTTONE & CO., LLC (TTUC)	24.90	3.04	7.31	14.55	0.00	25.0862	14.88	102.4443	14.88	57.2196	14.88	0	0
SPEEDROUTE LLC (SPDR)	12.74	6.02	6.40	0.32	0.00	8.532	3.25191	26.9089	3.25191	0.1317	3.25191	0	0

Material Aspects:

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May 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
21.23	32.17	28.86	38.97	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)	24.70	0.00	6.66	18.04	0.00	0	0	-189.5987	-3.3705	-125.5552	-3.3705	0	0
CODA MARKETS, INC. (CODA)	24.10	7.92	6.58	9.60	0.00	-183.8297	-8.69212	-425.0647	-8.69212	-186.6589	-8.69212	0	0
CUTTONE & CO., LLC (TTUC)	23.92	8.09	6.52	9.32	0.00	382.4443	14.88	876.2356	14.88	291.0483	14.88	0	0
SPEEDROUTE LLC (SPDR)	20.81	14.91	5.67	0.23	0.00	112.135	3.25191	136.7113	3.25191	7.1851	3.25191	0	0

Material Aspects:

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May 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
1.32	6.25	0.00	93.75	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)	62.50	0.00	0.00	62.50	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).]

June 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
31.57	17.58	29.79	52.64	0.00

Venues

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Lampost Capital, L.C. (LAMP)	33.89	0.00	7.62	26.27	0.00	0	0	-23.538	-3.45882	-8.0483	-3.45882	0	0
CUTTONE & CO., LLC (TTUC)	24.80	4.00	7.71	13.09	0.00	7.3358	14.88	58.4293	14.88	50.9089	14.88	0	0
CODA MARKETS, INC. (CODA)	24.71	4.39	7.42	12.89	0.00	-9.3433	-8.94528	-49.5166	-8.94528	-7.1562	-8.94528	0	0
SPEEDROUTE LLC (SPDR)	15.04	7.91	6.93	0.20	0.00	2.5667	1.55391	7.1346	1.55391	1.5694	1.55391	0	0

Material Aspects:

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June 2021

Non-S&P 500 Stocks

Summary

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16.73	21.77	33.39	44.83	0.00

Venues

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SPEEDROUTE LLC (SPDR)	16.64	9.40	6.99	0.25	0.00	34.6303	1.55391	121.9712	1.55391	1.9528	1.55391	0	0
Lampost Capital, L.C. (LAMP)	29.16	0.00	8.24	20.92	0.00	0	0	-284.4326	-3.45882	-189.2898	-3.45882	0	0
CODA MARKETS, INC. (CODA)	25.13	5.44	8.22	11.47	0.00	-122.6335	-8.94528	-723.6302	-8.94528	-247.5401	-8.94528	0	0
CUTTONE & CO., LLC (TTUC)	23.51	5.17	7.57	10.77	0.00	246.9574	14.88	1,106.2715	14.88	420.1591	14.88	0	0

Material Aspects:

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[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. Payments received from LAMP averaged \$0.0004007 per share for the period 2QTR2021. 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, which is \$0.0004007 per share. Then we use \$0.0004007 per share 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. Payments received from CODA averaged \$0.000893 per share for the period 2QTR2021. 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, which is \$0.000893 per share. Then we use \$0.000893 per share 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, which is \$0.001488 per share. Then we use \$0.001488 per share 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]

June 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
1.07	18.18	13.64	68.18	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)	63.64	0.00	9.09	54.55	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).]