

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

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3rd Quarter, 2020

July 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
29.90	22.15	42.77	35.08	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)	27.09	0.00	9.76	17.33	0.00	0	-1.19	-38.2362	-1.19	-19.214	-1.19	0	0
CODA MARKETS, INC. (CODA)	23.51	5.15	9.72	8.65	0.00	-40.923	-9.11	-296.3274	-9.11	-75.0518	-9.11	0	0
CUTTONE & CO., LLC (TTUC)	22.85	5.27	9.92	7.66	0.00	65.4519	15.3	440.4136	15.3	148.6104	15.3	0	0
SPEEDROUTE LLC (SPDR)	18.44	9.55	8.48	0.41	0.00	21.5503	2.886	71.1041	2.886	7.9509	2.886	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.]

#### 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.]

#### 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.]

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## July 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
17.27	33.98	32.90	33.12	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)	26.10	8.34	9.09	8.67	0.00	-215.4196	-9.11	-401.1078	-9.11	-119.8685	-9.11	0	0
CUTTONE & CO., LLC (TTUC)	25.53	8.10	8.74	8.69	0.00	364.4322	15.3	651.2476	15.3	205.0475	15.3	0	0
Lampost Capital, L.C (LAMP)	24.36	0.00	8.69	15.67	0.00	0	-1.19	-44.3963	-1.19	-23.153	-1.19	0	0
SPEEDROUTE LLC (SPDR)	23.66	15.13	8.12	0.41	0.00	86.3529	2.886	125.6847	2.886	8.7518	2.886	0	0

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CUTTONE & CO., LLC (TTUC):

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Lampost Capital, L.C (LAMP):

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## July 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
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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
0.00	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:

## August 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
30.60	42.08	31.71	26.21	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)
SPEEDROUTE LLC (SPDR)	27.98	20.15	7.64	0.18	0.00	120.3484	4.938	67.9582	4.938	1.4468	4.938	0	0
CODA MARKETS, INC. (CODA)	25.43	10.69	8.23	6.51	0.00	-114.2041	-8.76	-116.5711	-8.76	-67.4678	-8.76	0	0
CUTTONE & CO., LLC (TTUC)	24.29	9.92	7.46	6.92	0.00	177.0289	14.99	157.0592	14.99	115.9027	14.99	0	0
Lampost Capital, L.C (LAMP)	20.29	0.00	8.05	12.24	0.00	0	-1.714	-20.0937	-1.714	-12.0566	-1.714	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.]

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##### CUTTONE & CO., LLC (TTUC):

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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.]

## August 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
17.48	35.34	32.80	31.86	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)	25.18	8.43	8.24	8.51	0.00	-140.0628	-8.76	-268.6823	-8.76	-128.2876	-8.76	0	0
CUTTONE & CO., LLC (TTUC)	24.67	8.58	8.36	7.73	0.00	271.8197	14.99	552.9961	14.99	151.3106	14.99	0	0
Lampost Capital, L.C (LAMP)	23.67	0.00	8.51	15.16	0.00	0	-1.714	-60.1035	-1.714	-29.3415	-1.714	0	0
SPEEDROUTE LLC (SPDR)	22.90	15.67	6.98	0.25	0.00	139.7943	4.938	150.5246	4.938	7.0233	4.938	0	0

#### Material Aspects:

##### CODA MARKETS, INC. (CODA):

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##### SPEEDROUTE LLC (SPDR):

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## August 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

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:

## September 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
28.51	26.49	32.51	40.99	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)	27.49	0.00	7.70	19.79	0.00	0	-7.768	-65.0772	-7.768	-81.0971	-7.768	0	0
CODA MARKETS, INC. (CODA)	25.71	6.91	8.69	10.10	0.00	-14.7537	-8.172	-112.9779	-8.172	-49.3532	-8.172	0	0
CUTTONE & CO., LLC (TTUC)	23.82	6.34	8.17	9.32	0.00	31.2571	14.99	122.6767	14.99	81.4197	14.99	0	0
SPEEDROUTE LLC (SPDR)	18.80	11.62	6.54	0.63	0.00	15.4558	4.485	37.9583	4.485	6.0956	4.485	0	0

## Material Aspects:

### Lampost Capital, L.C (LAMP):

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## September 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
19.65	48.35	18.13	33.52	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)	26.96	22.71	3.81	0.44	0.00	126.3084	4.485	76.5491	4.485	3.8347	4.485	0	0
CODA MARKETS, INC. (CODA)	25.41	11.79	4.55	9.07	0.00	-119.5441	-8.172	-173.4188	-8.172	-104.7495	-8.172	0	0
CUTTONE & CO., LLC (TTUC)	25.32	12.12	4.84	8.35	0.00	313.2086	14.99	340.321	14.99	137.875	14.99	0	0
Lamport Capital, L.C (LAMP)	20.81	0.00	5.10	15.71	0.00	0	-7.768	-132.4452	-7.768	-106.0674	-7.768	0	0

**Material Aspects:**

**SPEEDROUTE LLC (SPDR):**

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## September 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

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: