

## **Order Routing Quarterly (AXOS Clearing) Report SEC Rule 606 Order Routing Information:**

[www.speedtrader.com](http://www.speedtrader.com)

### **Report For Period 07/01/2020 To 09/30/2020**

Mint Global Markets, Inc. has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available reports on their order-routing practices. The report provides information on the routing of "non-directed orders" (any order that the customer has not specifically instructed to be routed to a particular venue for execution).

This report is divided into four sections: one for securities listed on the New York Stock Exchange, one for securities listed on The NASDAQ Stock Market, one for securities listed on the American Stock Exchange or regional exchanges. For each section, this report identifies the number of non-directed orders as a percentage of total customer orders.

This report was created for order routing specifically cleared through Axos Clearing. Mint Global Markets currently has two clearing relationships. Mint creates two Quarterly Order Routing 606 reports. One for each clearing firm.

### **Payment for Order Flow**

Mint Global Markets, Inc. receives compensation on a per-share or per-contract basis for directing order flow to selected exchanges and brokers-dealers. Customers can request that Mint Global Markets, Inc disclose to its customer the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any that resulted from such orders. HARD COPY OF THIS REPORT IS AVAILABLE UPON REQUEST. FREE OF CHARGE. Price improvement is available under certain market conditions. We post quarterly order routing execution reports at: [www.speedtrader.com](http://www.speedtrader.com).

For additional information or to request a "Hard Copy" or "Identity of the Venue Disclosure", please contact us in writing or by email as follows:

1717 Route 6, Suite 102

Carmel, NY 10512

(800) 874-3039 from 8:00 a.m. to 5:00 p.m. EST or fax (845) 622-4878

or email: [info@speedtrader.com](mailto:info@speedtrader.com) or [www.speedtrader.com/LiveChat](http://www.speedtrader.com/LiveChat).

## **ORDER ROUTING QUARTERLY REPORT SEC RULE 606**

In accordance with Regulation NMS Rule 606(b)(1) a customer can request that SUSA disclose the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any that resulted from such orders.

HARD COPY OF THIS REPORT IS AVAILABLE UPON REQUEST - FREE OF CHARGE. Price Improvement is available under certain market conditions. MINT posts quarterly order routing execution reports at: [www.speedtrader.com](http://www.speedtrader.com). For additional information or to request a "Hard Copy" or "Identity of the Venue Disclosure", please contact Mint Global Markets, Inc., via email: [info@speedtrader.com](mailto:info@speedtrader.com). fax: 845-622-4878, telephone: 800-874-3039, live chat: [www.speedtrader.com](http://www.speedtrader.com), or U.S mail: 1717 Route 6, Attention: Compliance, Carmel, NY 10512.

## SEC Rule 606 Report

SPTD

7/1/2020 To 9/30/2020

Total Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, AMEX, and CBOE

44.47%

### Network A Securities - NYSE

Non Directed in NYSE Securities as Percentage of Total Orders in NYSE, NASDAQ, AMEX, CBOE

10.92%

Non Directed as a Percentage of Total Orders in NYSE Securities

69.05%

Percentage to Venue	Total Non-Directed Orders	Market Orders	Market			
			Marketable Limit	Non-Marketable	Other	Orders
			33.96%	40.19%	25.85%	0.00%
CUTS	25.41%	25.83%	25.84%	24.18%	0.00%	0.00%
CUTZ	0.09%	0.27%	0.00%	0.00%	0.00%	0.00%
HEAT	16.60%	24.36%	19.84%	1.36%	0.00%	0.00%
LAMP	15.75%	0.00%	23.86%	23.82%	0.00%	0.00%
PDQB	26.41%	26.22%	26.67%	26.26%	0.00%	0.00%
POSTT	7.83%	0.00%	3.78%	24.39%	0.00%	0.00%
SPDRX	7.92%	23.32%	0.00%	0.00%	0.00%	0.00%

### Nasdaq Securities

Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, Amex and CBOE

28.01%

Non Directed as a Percentage of Total Orders in Nasdaq Securities

41.07%

Percentage to Venue	Total Non-Directed Orders	Market Orders	Market			
			Marketable Limit	Non-Marketable	Other	Orders
			35.48%	40.68%	23.84%	0.00%
ARCA	0.01%	0.00%	0.03%	0.00%	0.00%	0.00%
CUTS	25.19%	25.41%	24.92%	25.31%	0.00%	0.00%
CUTZ	0.10%	0.15%	0.03%	0.11%	0.00%	0.00%
HEAT	16.09%	24.64%	17.59%	0.80%	0.00%	0.00%
LAMP	15.90%	0.00%	24.67%	24.59%	0.00%	0.00%
PDQB	25.42%	25.41%	25.31%	25.62%	0.00%	0.00%
POSTT	8.64%	0.00%	7.43%	23.56%	0.00%	0.00%
SPDRX	8.65%	24.37%	0.00%	0.00%	0.00%	0.00%

### Network B Securities - NYSE Amex and Regional

Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, Amex and CBOE

2.75%

Non Directed as a Percentage of Total Orders in Amex/ Regional Securities

28.38%

Percentage to Venue	Total Non-Directed Orders	Market Orders	Market			
			Marketable Limit	Non-Marketable	Other	Orders
			44.17%	20.56%	35.26%	0.00%
CUTS	26.65%	26.39%	27.82%	26.28%	0.00%	0.00%
HEAT	12.82%	23.11%	12.68%	0.00%	0.00%	0.00%
LAMP	10.93%	0.00%	17.96%	20.53%	0.00%	0.00%
PDQB	31.28%	29.67%	37.32%	29.77%	0.00%	0.00%
POSTT	9.12%	0.00%	4.23%	23.41%	0.00%	0.00%
SPDRX	9.20%	20.82%	0.00%	0.00%	0.00%	0.00%

### Exchange-Listed Options

Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, Amex and CBOE

0%

Non Directed as a Percentage of Total Orders in Options Securities

0%

Percentage to Venue	Total Non-Directed Orders	Market Orders	Market			
			Marketable Limit	Non-Marketable	Other	Orders
			0.00%	0.00%	0.00%	0.00%
Exchange-Listed All			35.66%	39.26%	25.09%	0.00%
ARCA	0.01%	0.00%	0.02%	0.00%	0.00%	0.00%
CUTS	25.34%	25.59%	25.26%	25.10%	0.00%	0.00%
CUTZ	0.09%	0.17%	0.02%	0.07%	0.00%	0.00%
HEAT	16.01%	24.45%	18.01%	0.88%	0.00%	0.00%
LAMP	15.54%	0.00%	24.23%	24.02%	0.00%	0.00%
PDQB	26.05%	25.95%	26.07%	26.16%	0.00%	0.00%
POSTT	8.47%	0.00%	6.38%	23.76%	0.00%	0.00%
SPDRX	8.50%	23.84%	0.00%	0.00%	0.00%	0.00%