

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

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3rd Quarter, 2021

July 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
37.37	23.39	30.01	46.61	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)	31.64	0.00	8.42	23.22	0.00	0	-0.4533	-2.7594	-0.4533	-1.6415	-0.4533	0	0
CODA MARKETS, INC. (CODA)	26.49	6.62	8.18	11.69	0.00	-25.2569	-9.55	-73.8568	-9.55	-26.1431	-9.55	0	0
CUTTONE & CO., LLC (TTUC)	23.63	5.81	6.62	11.20	0.00	32.4354	13.653	78.4379	13.653	42.4076	13.653	0	0
SPEEDROUTE LLC (SPDR)	18.23	10.96	6.79	0.49	0.00	20.3937	4.324	26.1023	4.324	0.5033	4.324	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):

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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.]

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 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
18.06	32.12	33.77	34.10	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)	25.01	8.82	8.19	8.00	0.00	1,704.7272	13.653	1,177.3556	13.653	152.6883	13.653	0	0
CODA MARKETS, INC. (CODA)	24.68	7.91	8.02	8.75	0.00	-513.9533	-9.55	-684.3654	-9.55	-155.4912	-9.55	0	0
Lampost Capital, L.C (LAMP)	23.76	0.00	7.83	15.93	0.00	0	-0.4533	-32.5375	-0.4533	-15.1022	-0.4533	0	0
SPEEDROUTE LLC (SPDR)	21.23	14.21	6.72	0.30	0.00	426.7196	4.324	256.13	4.324	9.195	4.324	0	0

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## July 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

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
6.02	8.51	9.22	82.27	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)	86.52	8.51	9.22	68.79	0.00								

#### Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

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

## August 2021

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### 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
38.12	54.43	30.82	14.75	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)
SPEEDROUTE LLC (SPDR)	34.49	26.96	7.09	0.44	0.00	49.8879	5.457	40.6044	5.457	11.0695	5.457	0	0
CODA MARKETS, INC. (CODA)	26.01	14.05	8.04	3.92	0.00	-47.6869	-9.335	-111.0818	-9.335	-46.5583	-9.335	0	0
CUTTONE & CO., LLC (TTUC)	24.24	13.04	7.91	3.29	0.00	68.0819	13.767	192.9872	13.767	22.6467	13.767	0	0
Lampost Capital, L.C (LAMP)	14.87	0.00	7.78	7.09	0.00	0	-6.2688	-33.9901	-6.2688	-34.1543	-6.2688	0	0

#### Material Aspects:

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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.]

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## August 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
22.27	37.27	28.93	33.80	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)	24.73	9.15	6.95	8.63	0.00	-977.1	-9.335	-526.2961	-9.335	-265.6937	-9.335	0	0
CUTTONE & CO., LLC (TTUC)	24.62	9.30	6.97	8.36	0.00	1,412.5052	13.767	957.1465	13.767	403.5218	13.767	0	0
SPEEDROUTE LLC (SPDR)	24.00	17.59	6.23	0.18	0.00	1,031.63	5.457	265.1496	5.457	7.2054	5.457	0	0
Lampost Capital, L.C (LAMP)	23.30	0.00	7.32	15.98	0.00	0	-6.2688	-347.914	-6.2688	-300.3833	-6.2688	0	0

**Material Aspects:**

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## August 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
9.87	0.48	13.40	86.12	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)
VOLANT EXECUTION, LLC (CMSP)	94.74	0.00	13.40	81.34	0.00								

#### Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

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

## September 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
36.13	69.61	15.80	14.59	0.00

#### Venues

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SPEEDROUTE LLC (SPDR)	36.68	33.13	3.41	0.13	0.00	59.9167	5.8358	21.5755	5.8358	0.6419	5.8358	0	0
CUTTONE & CO., LLC (TTUC)	24.97	16.93	4.35	3.68	0.00	60.0065	11.456	47.2102	11.456	21.1581	11.456	0	0
CODA MARKETS, INC. (CODA)	24.50	16.60	4.02	3.88	0.00	-53.2489	-9.619	-50.9422	-9.619	-24.6631	-9.619	0	0
Lampost Capital, L.C (LAMP)	10.84	0.00	3.95	6.89	0.00	0	-1.6253	-5.0859	-1.6253	-6.2883	-1.6253	0	0

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

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## September 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
20.62	40.80	32.58	26.62	0.00

**Venues**

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SPEEDROUTE LLC (SPDR)	26.23	19.04	6.95	0.24	0.00	1,855.9338	5.8358	417.918	5.8358	11.4096	5.8358	0	0
CUTTONE & CO., LLC (TTUC)	24.39	10.19	8.00	6.19	0.00	2,250.4236	11.456	1,026.2675	11.456	257.7314	11.456	0	0
CODA MARKETS, INC. (CODA)	24.37	9.93	8.00	6.43	0.00	-1,687.4083	-9.619	-746.673	-9.619	-203.3024	-9.619	0	0
Lamport Capital, L.C (LAMP)	20.38	0.00	7.93	12.44	0.00	0	-1.6253	-126.3144	-1.6253	-65.3138	-1.6253	0	0

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

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## September 2021

### Options

#### Summary

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2.56	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)	83.72	0.00	0.00	83.72	0.00								

#### Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

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