

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

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4th Quarter, 2020

October 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
25.43	30.02	19.11	50.88	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)	5.10	2.07	1.27	1.75	0.00	-6.5215	-5	-1.77	-5	-0.6875	-5	0	0
SPEEDROUTE LLC (SPDR)	20.14	8.36	5.02	6.77	0.00	33.9644	3.586	5.1057	3.586	7.1121	3.586	0	0
Lampost Capital, L.C (LAMP)	14.25	0.00	0.96	13.30	0.00	0	-16.353	-7.228	-16.353	-158.5407	-16.353	0	0
CUTTONE & CO., LLC (TTUC)	12.82	5.18	3.58	4.06	0.00	63.8929	15.073	14.3374	15.073	12.6779	15.073	0	0
(PDQND)	12.18	4.62	2.31	5.25	0.00	-22.606	-5	-3.1575	-5	-8.985	-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.]

#### 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.]

#### 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.]

#### 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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## October 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
15.72	30.52	24.84	44.64	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)	28.91	11.41	8.88	8.62	0.00	496.231	3.586	337.2654	3.586	108.5543	3.586	0	0
CUTTONE & CO., LLC (TTUC)	24.02	10.06	5.97	7.98	0.00	1,886.7386	15.073	1,089.9678	15.073	536.5687	15.073	0	0
Lampost Capital, L.C (LAMP)	20.17	0.00	2.06	18.11	0.00	0	-16.353	-246.0538	-16.353	-935.7007	-16.353	0	0
(PDQND)	12.91	4.91	2.96	5.04	0.00	-284.276	-5	-201.0385	-5	-102.5555	-5	0	0
CODA MARKETS, INC. (CODA)	11.64	4.45	2.70	4.49	0.00	-319.4225	-5	-106.6755	-5	-76.921	-5	0	0

#### Material Aspects:

SPEEDROUTE LLC (SPDR):

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CUTTONE & CO., LLC (TTUC):

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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. 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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## October 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:

## November 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
19.97	46.17	17.17	36.66	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)	10.90	5.34	2.78	2.78	0.00	94.4665	15.041	5.8991	15.041	9.3796	15.041	0	0
SPEEDROUTE LLC (SPDR)	20.19	8.82	4.87	6.50	0.00	44.5618	5.352	13.1975	5.352	5.0293	5.352	0	0
(PDQND)	16.01	7.08	2.90	6.03	0.00	-26.133	-5	-2.2655	-5	-3.8625	-5	0	0
Lampost Capital, L.C (LAMP)	11.72	0.00	0.93	10.79	0.00	0	-20.053	-2.1517	-20.053	-36.8975	-20.053	0	0

Material Aspects:

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):

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## November 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
17.93	37.72	26.92	35.36	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)	30.32	14.66	8.66	6.99	0.00	805.4283	5.352	540.5172	5.352	195.9678	5.352	0	0
(PDQND)	24.73	11.77	5.43	7.53	0.00	-594.352	-5	-296.9	-5	-194.155	-5	0	0
CUTTONE & CO., LLC (TTUC)	22.83	12.02	5.46	5.36	0.00	2,078.9851	15.041	970.8469	15.041	495.8115	15.041	0	0
Lampost Capital, L.C (LAMP)	16.01	0.00	1.65	14.36	0.00	0	-20.053	-293.622	-20.053	-1,283.7229	-20.053	0	0

#### Material Aspects:

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CUTTONE & CO., LLC (TTUC):

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## November 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:

## December 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
18.56	45.88	27.58	26.55	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)	5.67	0.00	0.90	4.77	0.00	0	-21.768	-6.8003	-21.768	-6.1495	-21.768	0	0
SPEEDROUTE LLC (SPDR)	16.49	5.03	7.99	3.48	0.00	8.7837	6.699	8.696	6.699	1.7819	6.699	0	0
(PDQND)	14.69	5.80	5.54	3.35	0.00	-4.1625	-5	-3.9065	-5	-0.431	-5	0	0
CUTTONE & CO., LLC (TTUC)	14.56	6.83	5.80	1.93	0.00	12.9063	15.03	14.8181	15.03	3.9604	15.03	0	0

**Material Aspects:**

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CUTTONE &amp; CO., LLC (TTUC):

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## December 2020

### Non-S&P 500 Stocks

**Summary**

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16.86	31.84	29.16	39.00	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)
SPEEDROUTE LLC (SPDR)	27.20	11.49	9.25	6.46	0.00	1,027.9562	6.699	723.5831	6.699	183.3469	6.699	0	0
(PDQND)	22.79	10.38	5.40	7.01	0.00	-711.9815	-5	-301.7485	-5	-119.6165	-5	0	0
CUTTONE & CO., LLC (TTUC)	22.68	10.88	5.76	6.04	0.00	2,393.3621	15.03	1,060.4011	15.03	502.5761	15.03	0	0
Lampost Capital, L.C (LAMP)	14.68	0.00	1.24	13.44	0.00	0	-21.768	-208.7769	-21.768	-1,265.0974	-21.768	0	0

**Material Aspects:**

SPEEDROUTE LLC (SPDR):

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**December 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:**