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

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
34.25	24.04	42.65	33.31	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)	24.51	5.82	9.98	8.71	0.00	27.0746	16.689	245.9057	16.689	66.6876	16.689	0	0
Lampost Capital, L.C (LAMP)	24.38	0.00	9.43	14.95	0.00	0	2.695	49.5228	2.695	15.6951	2.695	0	0
SPEEDROUTE LLC (SPDR)	19.24	10.11	8.96	0.17	0.00	7.0051	2.6087	32.5623	2.6087	3.0261	2.6087	0	0
(PDQND)	14.95	3.19	7.09	4.67	0.00	-8.9671	-9.137	-107.3671	-9.137	-10.4948	-9.137	0	0
CODA MARKETS, INC. (CODA)	10.58	3.06	3.53	3.99	0.00	-4.9888	-9.137	-35.5731	-9.137	-7.5837	-9.137	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.]

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 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
17.73	43.60	28.29	28.11	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)	25.62	11.12	7.66	6.83	0.00	340.736	16.689	626.3649	16.689	98.4384	16.689	0	0
Lampost Capital, L.C (LAMP)	21.49	0.00	8.16	13.33	0.00	0	2.695	83.549	2.695	39.2279	2.695	0	0
(PDQND)	14.81	6.08	4.86	3.87	0.00	-77.6206	-9.137	-232.8226	-9.137	-55.7485	-9.137	0	0
CODA MARKETS, INC. (CODA)	11.38	5.04	2.78	3.56	0.00	-57.5229	-9.137	-89.7756	-9.137	-21.249	-9.137	0	0
SPEEDROUTE LLC (SPDR)	27.80	20.73	6.44	0.62	0.00	80.0579	2.6087	76.5588	2.6087	6.5139	2.6087	0	0

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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
29.77	17.43	46.87	35.70	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)	5.83	2.37	3.40	0.06	0.00	0.7378	1.509	5.2083	1.509	1.509	1.509	0	0
Lampost Capital, L.C (LAMP)	8.01	0.00	4.01	4.01	0.00	0	-2.742	-12.9905	-2.742	-4.4802	-2.742	0	0
(PDQND)	7.89	1.58	4.01	2.31	0.00	-3.194	-9.258	-41.7128	-9.258	-6.1843	-9.258	0	0
CUTTONE & CO., LLC (TTUC)	7.10	1.40	3.76	1.94	0.00	6.7437	15.849	55.7298	15.849	5.6422	15.849	0	0

Material Aspects:
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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
20.97	30.10	38.45	31.45	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)	5.68	1.71	2.07	1.90	0.00	20.3961	15.849	177.8321	15.849	26.5915	15.849	0	0
(PDQND)	5.60	1.71	2.05	1.84	0.00	-9.5589	-9.258	-70.0757	-9.258	-15.6784	-9.258	0	0
Lampost Capital, L.C (LAMP)	5.48	0.00	2.03	3.45	0.00	0	-2.742	-20.8946	-2.742	-14.0983	-2.742	0	0
SPEEDROUTE LLC (SPDR)	5.21	3.29	1.84	0.08	0.00	4.5026	1.509	17.261	1.509	0.461	1.509	0	0

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November 2020

Options

Summary

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2.80	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:

December 2020

S&P 500 Stocks

Summary

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27.60	39.34	35.10	25.55	0.00

Venues

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SPEEDROUTE LLC (SPDR)	27.77	19.42	8.10	0.25	0.00	32.0484	2.366	16.9673	2.366	2.9575	2.366	0	0
(PDQND)	25.49	9.11	9.68	6.70	0.00	-56.2274	-8.948	-111.8303	-8.948	-67.5091	-8.948	0	0
CUTTONE & CO., LLC (TTUC)	23.85	9.68	8.60	5.57	0.00	109.848	17.294	150.4094	17.294	70.8172	17.294	0	0
Lampost Capital, L.C (LAMP)	19.99	0.00	8.22	11.76	0.00	0	1.459	14.7756	1.459	4.1112	1.459	0	0

Material Aspects:

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December 2020

Non-S&P 500 Stocks

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18.19	27.43	34.72	37.85	0.00

Venues

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Lampost Capital, L.C (LAMP)	25.83	0.00	8.78	17.05	0.00	0	1.459	107.8834	1.459	41.741	1.459	0	0
(PDQND)	24.61	7.11	7.88	9.62	0.00	-78.099	-8.948	-583.806	-8.948	-174.5719	-8.948	0	0
CUTTONE & CO., LLC (TTUC)	24.32	6.85	8.54	8.94	0.00	217.6208	17.294	1,386.9788	17.294	280.2596	17.294	0	0
SPEEDROUTE LLC (SPDR)	19.84	12.41	7.02	0.41	0.00	41.2858	2.366	146.3196	2.366	3.8708	2.366	0	0

Material Aspects:

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December 2020

Options

Summary

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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: