

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

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4th Quarter, 2021

October 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
27.46	53.83	29.09	17.07	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)	33.01	25.44	7.58	0.00	0.00	47.0638	8.188	32.1616	8.188	0	8.188	0	0
CODA MARKETS, INC. (CODA)	23.87	12.54	6.71	4.62	0.00	-24.274	-9.758	-48.8798	-9.758	-19.3452	-9.758	0	0
CUTTONE & CO., LLC (TTUC)	22.04	12.28	7.06	2.70	0.00	36.966	15	56.061	15	5.157	15	0	0
Lampost Capital, L.C (LAMP)	16.38	0.00	7.75	8.62	0.00	0	-2.2164	-14.8053	-2.2164	-8.1519	-2.2164	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.]

#### 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.]

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

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## October 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
18.17	49.48	27.17	23.36	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)
CUTTONE & CO., LLC (TTUC)	28.18	15.40	7.10	5.69	0.00	11,583.54	15	2,467.9634	15	432.4395	15	0	0
SPEEDROUTE LLC (SPDR)	25.50	20.06	5.35	0.09	0.00	3,383.4724	8.188	479.8152	8.188	1.315	8.188	0	0
CODA MARKETS, INC. (CODA)	23.84	11.71	6.31	5.82	0.00	-2,199.5723	-9.758	-622.1866	-9.758	-149.8761	-9.758	0	0
Lampost Capital, L.C (LAMP)	16.77	0.00	6.27	10.49	0.00	0	-2.2164	-143.1466	-2.2164	-80.8323	-2.2164	0	0

#### Material Aspects:

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## October 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
2.49	0.00	2.90	97.10	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)
VOLANT EXECUTION, LLC (CMSP)	81.16	0.00	2.90	78.26	0.00	0	0	0	0	0	0	0	0

#### Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

[Mint does not receive payment nor do we pay for routing for Volant (CMSP). ]

## November 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
23.59	35.81	44.46	19.73	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)	25.80	16.46	8.65	0.68	0.00	32.7048	5.897	51.8435	5.897	20.3724	5.897	0	0
CUTTONE & CO., LLC (TTUC)	25.57	8.57	12.29	4.70	0.00	43.083	15	151.662	15	100.74	15	0	0
CODA MARKETS, INC. (CODA)	24.73	8.12	12.06	4.55	0.00	-19.1413	-9.66	-104.8129	-9.66	-44.3075	-9.66	0	0
Lampost Capital, L.C (LAMP)	20.71	0.00	11.31	9.41	0.00	0	-4.758	-60.9828	-4.758	-59.3546	-4.758	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.]

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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## November 2021

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### 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
13.80	43.14	32.60	24.26	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)	25.57	19.28	6.10	0.19	0.00	1,602.7273	5.897	365.772	5.897	7.8648	5.897	0	0
CUTTONE & CO., LLC (TTUC)	24.41	12.29	6.68	5.43	0.00	7,471.7026	15	1,500.8295	15	359.535	15	0	0
CODA MARKETS, INC. (CODA)	22.58	10.17	6.74	5.68	0.00	-1,341.9866	-9.66	-564.5072	-9.66	-162.9681	-9.66	0	0
Lampost Capital, L.C (LAMP)	17.27	0.00	6.87	10.40	0.00	0	-4.758	-300.3221	-4.758	-193.9047	-4.758	0	0

#### Material Aspects:

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## November 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
23.14	25.59	14.04	60.37	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)	99.14	25.59	13.50	60.04	0.00	0	0	0	0	0	0	0	0

#### Material Aspects:

VOLANT EXECUTION, LLC (CMSP):

[Mint does not receive payment nor do we pay for routing for Volant (CMSP). ]

## December 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
23.97	41.65	41.90	16.46	0.00

#### Venues

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SPEEDROUTE LLC (SPDR)	29.43	19.70	9.23	0.50	0.00	15.3787	4.003	30.9996	4.003	10.1076	4.003	0	0
CODA MARKETS, INC. (CODA)	26.77	10.81	11.22	4.74	0.00	-22.3973	-9.085	-110.3364	-9.085	-77.9629	-9.085	0	0
CUTTONE & CO., LLC (TTUC)	23.69	9.81	10.39	3.49	0.00	34.0545	15	158.682	15	120.4575	15	0	0
Lampost Capital, L.C (LAMP)	18.62	0.00	11.06	7.56	0.00	0	-7.896	-117.8652	-7.896	-61.3243	-7.896	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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## December 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
11.61	29.88	44.29	25.83	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)	21.36	0.00	10.14	11.22	0.00	0	-7.896	-554.3166	-7.896	-221.2641	-7.896	0	0
CODA MARKETS, INC. (CODA)	23.62	7.22	10.23	6.18	0.00	-236.3263	-9.085	-673.9725	-9.085	-190.3062	-9.085	0	0
CUTTONE & CO., LLC (TTUC)	22.97	7.08	9.94	5.95	0.00	517.794	15	979.473	15	213.7935	15	0	0
SPEEDROUTE LLC (SPDR)	22.66	13.44	8.90	0.33	0.00	262.6961	4.003	248.9117	4.003	8.512	4.003	0	0

**Material Aspects:****Lampost Capital, L.C (LAMP):**

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**December 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
26.56	33.88	15.52	50.60	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)	98.21	33.58	14.78	49.85	0.00	0	0	0	0	0	0	0	0

**Material Aspects:**

VOLANT EXECUTION, LLC (CMSP):

[Mint does not receive payment nor do we pay for routing for Volant (CMSP). ]