

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

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

**Report For Period 10/1/2019 To 12/31/2019**

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.

### **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).

# SEC Rule 606 Report

SPTD

10/1/2019 To 12/31/2019

**Total Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, AMEX, and CBOE** **35.37%**

## Network A Securities - NYSE

**Non Directed in NYSE Securities as Percentage of Total Orders in NYSE, NASDAQ, AMEX, CBOE** **11.74%**

**Non Directed as a Percentage of Total Orders in NYSE Securities** **45.08%**

Percentage to Venue	Total Non-Directed Orders	Market		Marketable Limit		Non-Marketable		Other	
		Market Orders	Market Orders	Marketable Limit	Non-Marketable	Non-Marketable	Other Orders	Other Orders	Other Orders
			29.27%		38.68%		32.05%		0.00%
ARCA	1.62%	0.00%	0.00%	2.38%		2.17%		0.00%	0.00%
CUTS	38.75%	49.36%	42.68%	0.59%		24.31%		0.00%	0.00%
HEAT	0.32%	0.07%	0.07%	2.41%		0.22%		0.00%	0.00%
LAMP	0.96%	0.00%	0.00%	44.17%		0.09%		0.00%	0.00%
PDQB	39.93%	50.58%	50.58%	2.41%		25.09%		0.00%	0.00%
POSTT	18.24%	0.00%	0.00%	7.33%		48.07%		0.00%	0.00%
SPDRX	0.19%	0.00%	0.00%	0.44%		0.06%		0.00%	0.00%

## Nasdaq Securities

**Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, Amex and CBOE** **22.44%**

**Non Directed as a Percentage of Total Orders in Nasdaq Securities** **32.04%**

Percentage to Venue	Total Non-Directed Orders	Market		Marketable Limit		Non-Marketable		Other	
		Market Orders	Market Orders	Marketable Limit	Non-Marketable	Non-Marketable	Other Orders	Other Orders	Other Orders
			27.38%		34.56%		38.06%		0.00%
ARCA	1.60%	0.06%	0.06%	1.59%		2.73%		0.00%	0.00%
CUTS	36.96%	48.63%	41.93%	5.67%		24.05%		0.00%	0.00%
HEAT	0.61%	0.53%	1.06%			0.26%		0.00%	0.00%
LAMP	11.45%	0.00%	7.13%			23.60%		0.00%	0.00%
PDQB	37.74%	49.31%	42.52%	2.41%		25.08%		0.00%	0.00%
POSTT	10.23%	0.00%	3.48%			23.73%		0.00%	0.00%
SPDRX	1.40%	1.47%	2.30%			0.54%		0.00%	0.00%

## Network B Securities - NYSE Amex and Regional Exchanges

**Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, Amex and CBOE** **1.19%**

**Non Directed as a Percentage of Total Orders in Amex/ Regional Securities** **30.34%**

Percentage to Venue	Total Non-Directed Orders	Market		Marketable Limit		Non-Marketable		Other	
		Market Orders	Market Orders	Limit Orders	Non-Marketable	Non-Marketable	Other Orders	Other Orders	Other Orders
			34.03%		26.04%		39.93%		0.00%
ARCA	0.09%	0.00%	0.00%	0.33%		0.00%		0.00%	0.00%
CUTS	34.11%	32.91%	40.00%			31.30%		0.00%	0.00%
HEAT	8.77%	25.00%	0.67%			0.22%		0.00%	0.00%
LAMP	1.56%	0.00%	5.67%			0.22%		0.00%	0.00%
PDQB	41.75%	39.29%	48.67%			39.35%		0.00%	0.00%
POSTT	10.85%	0.00%	1.67%			26.09%		0.00%	0.00%
SPDRX	2.86%	2.81%	3.00%			2.83%		0.00%	0.00%

## Exchange-Listed Options

**Non Directed as a Percentage of Total Orders to NYSE, Nasdaq, Amex and CBOE** **0.00%**

**Non Directed as a Percentage of Total Orders in Options Securities** **0.00%**

Percentage to Venue	Total Non-Directed Orders	Market		Marketable Limit		Non-Marketable		Other	
		Market Orders	Market Orders	Limit Orders	Non-Marketable	Non-Marketable	Other Orders	Other Orders	Other Orders
			0.00%		0.00%		100.00%		0.00%
VOLX	100.00%	0.00%	0.00%			100.00%		0.00%	0.00%

### Exchange-Listed All

Percentage to Venue	Total Non-Directed Orders	Market		Marketable Limit		Non-Marketable		Other	
		Market Orders	Market Orders	Limit Orders	Non-Marketable	Non-Marketable	Other Orders	Other Orders	Other Orders
			28.23%		35.56%		36.21%		0.00%
ARCA	1.55%	0.03%	0.03%	1.83%		2.46%		0.00%	0.00%
CUTS	37.42%	48.17%	42.15%			24.39%		0.00%	0.00%
HEAT	0.82%	1.47%	0.88%			0.25%		0.00%	0.00%
LAMP	7.68%	0.00%	5.43%			15.88%		0.00%	0.00%
PDQB	38.58%	49.29%	43.26%			25.64%		0.00%	0.00%
POSTT	12.85%	0.00%	4.79%			30.78%		0.00%	0.00%
SPDRX	1.06%	1.04%	1.66%			0.50%		0.00%	0.00%
VOLX	0.04%	0.00%	0.00%			0.11%		0.00%	0.00%

## **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. SUSA 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.