# RQD* Clearing LLC - 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 |
|---|---|---|---|---|
| 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:

## 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 |
|---|---|---|---|---|
| 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:

## October 2020

## Option Contracts

### 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 |
|---|---|---|---|---|
| 0.26 | 18.76 | 24.57 | 47.85 | 8.82 |

### 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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| DASH Financial Technologies (DASH) | 29.00 | 42.25 | 14.56 | 34.35 | 12.05 | -10,926.50 | -0.3766 | -13,469.00 | -0.4273 | -18,945.60 | -0.4763 | -539.20 | -0.5205 |
| NYSE Arca Inc (ARCO) | 17.58 | 0.60 | 2.56 | 35.01 | 0.99 | 46.67 | 0.1141 | -744.76 | -0.0588 | -42,410.02 | -0.4838 | -6.46 | -0.6460 |
| NASDAQ Options Market LLC (XNDQ) | 7.29 | 1.16 | 3.51 | 12.97 | 0.05 | 742.10 | 0.4676 | 10,761.04 | 0.3641 | -23,125.64 | -0.7004 | 0.00 | 0.0000 |
| CBOE Options Exchange (XCBO) | 6.77 | 9.75 | 15.17 | 2.47 | 0.37 | -341.58 | -0.0670 | -1,517.77 | -0.0597 | 40.46 | 0.0054 | 178.12 | 0.5549 |
| CBOE EDGX Options Exchange (EDGO) | 6.56 | 10.35 | 15.02 | 1.67 | 1.45 | -384.86 | -0.0742 | -199.71 | -0.0100 | -1,344.30 | -0.1476 | -2,027.96 | -0.4713 |
| Nasdaq PHLX LLC (XPHO) | 6.01 | 9.51 | 14.41 | 1.11 | 1.69 | -1,078.77 | -0.2085 | -3,766.14 | -0.1891 | -920.36 | -0.1700 | -196.04 | -0.2193 |
| Nasdaq ISE LLC (XISX) | 5.04 | 0.17 | 0.33 | 0.76 | 51.74 | 106.68 | 0.4135 | 968.35 | 0.3811 | -1,150.16 | -0.4352 | -12,789.05 | -0.6001 |
| MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) | 4.21 | 5.93 | 10.78 | 0.87 | 0.43 | -1.65 | -0.0014 | 0.00 | 0.0000 | -60.00 | -0.0256 | -2.80 | -0.2000 |
| NYSE American LLC (AMXO) | 3.84 | 4.46 | 9.86 | 1.20 | 0.02 | -186.12 | -0.0785 | -1,865.40 | -0.0882 | -393.24 | -0.0744 | 0.00 | 0.0000 |
| Nasdaq MCRY LLC (MCRY) | 3.40 | 10.23 | 0.19 | 3.00 | 0.01 | -1,467.60 | -0.1661 | 0.00 | 0.0000 | -3,414.80 | -0.2789 | 0.00 | 0.0000 |
| Global Execution Brokers LP (SUSQ) | 3.01 | 2.01 | 3.19 | 0.09 | 20.47 | -517.16 | -0.3326 | -3,203.93 | -0.3655 | -3.51 | -0.2925 | -2,964.82 | -0.4742 |
| Matrix Executions LLC (MTRX) | 2.76 | 0.38 | 1.82 | 2.74 | 10.53 | -66.70 | -0.4941 | -5,933.00 | -0.5070 | -5,210.90 | -0.5510 | -1,199.50 | -0.4726 |
| CBOE BZX Options Exchange (BATO) | 1.23 | 0.53 | 2.29 | 1.19 | 0.00 | 928.55 | 0.5025 | 11,452.80 | 0.4073 | 1,667.95 | 0.2140 | 0.00 | 0.0000 |
| BOX Holdings Group LLC (XBOX) | 0.76 | 1.24 | 1.56 | 0.30 | 0.03 | -246.10 | -0.2116 | -802.70 | -0.2302 | -131.80 | -0.2652 | -0.50 | -0.5000 |
| CBOE C2 Options Exchange (C2OX) | 0.67 | 0.64 | 1.51 | 0.35 | 0.17 | 729.69 | 0.4083 | 8,458.28 | 0.4206 | 698.16 | 0.4450 | 0.00 | 0.0000 |
| MIAX EMERALD LLC (EMLD) | 0.56 | 0.10 | 0.52 | 0.87 | 0.00 | 100.35 | 0.5017 | 784.59 | 0.1838 | -3,452.27 | -0.3958 | 0.00 | 0.0000 |
| Nasdaq GEMX LLC (GMNI) | 0.55 | 0.27 | 1.20 | 0.43 | 0.00 | 172.88 | 0.5026 | 4,397.57 | 0.4890 | 509.96 | 0.4442 | 0.00 | 0.0000 |
| MIAX PEARL LLC (MPRL) | 0.50 | 0.23 | 1.10 | 0.39 | 0.00 | 248.30 | 0.4803 | 3,987.24 | 0.4693 | 454.88 | 0.5065 | 0.00 | 0.0000 |
| NASDAQ OMX BX | 0.25 | 0.20 | 0.41 | 0.22 | 0.00 | -58.40 | -0.4391 | -475.20 | -0.3554 | -35.20 | -0.2011 | 0.00 | 0.0000 |

| 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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| (XBXO) | | | | | | | | | | | | | |

## Material Aspects:

DASH Financial Technologies (DASH):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

NYSE Arca Inc (ARCO):
The Firm will also collect credit payments from NYSE based on the particular fees and rebates offered in ARCO's fee schedule. NYSE Arca Options has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

NASDAQ Options Market LLC (XNDQ):
The Firm will also collect credit payments from XNDQ based on the particular fees and rebates offered in XNDQ's fee schedule. XNDQ has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://listingcenter.nasdaq.com/rulebook/nasdaq/rules

CBOE Options Exchange (XCBO):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from XCBO based on the particular fees and rebates offered in XCBO's fee schedule. XCBO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://markets.cboe.com/us/options/membership/fee_schedule/xcbo/

CBOE EDGX Options Exchange (EDGO):
The Firm will also collect credit payments from EDGO based on the particular fees and rebates offered in EDGO's fee schedule. EDGO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://markets.cboe.com/us/options/membership/fee_schedule/edgx/

Nasdaq PHLX LLC (XPHO):
The Firm will also collect credit payments from XPHO based on the particular fees and rebates offered in XPHO's fee schedule. Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. XPHO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://listingcenter.nasdaq.com/rulebook/phlx/rules

Nasdaq ISE LLC (XISX):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from XISX based on the particular fees and rebates offered in XISX's fee schedule. XISX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://listingcenter.nasdaq.com/rulebook/ise/rules

MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO):
The Firm will also collect credit payments from XMIO based on the particular fees and rebates offered in XMIO's fee schedule. Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange

NYSE American LLC (AMXO):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from AMEX based on the particular fees and rebates offered in AMEX's fee schedule. AMEX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

Nasdaq MCRY LLC (MCRY):
The Firm will also collect credit payments from MCRY based on the particular fees and rebates offered in MCRY's fee schedule. MCRY has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://https://listingcenter.nasdaq.com/rulebook/mrx/rules/mrx-options-7

Global Execution Brokers LP (SUSQ):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

Matrix Executions LLC (MTRX):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

CBOE BZX Options Exchange (BATO):
The Firm will also collect credit payments from BATO based on the particular fees and rebates offered in BATO's fee schedule. BATO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://markets.cboe.com/us/options/membership/fee_schedule/bato/

BOX Holdings Group LLC (XBOX):
The Firm will also collect credit payments from XBOX based on the particular fees and rebates offered in XBOX's fee schedule. XBOX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://boxoptions.com/regulatory/fee-schedule/

CBOE C2 Options Exchange (C2OX):
The Firm will also collect credit payments from C2OX based on the particular fees and rebates offered in C2OX's fee schedule. C2OX has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://markets.cboe.com/us/options/

membership/fee_schedule/ctwo

MIAX EMERALD LLC (EMLD):
The Firm will also collect credit payments from EMLD based on the particular fees and rebates offered in EMLD's fee schedule. EMLD has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://www.miaxoptions.com/fees/emerald

Nasdaq GEMX LLC (GMNI):
The Firm will also collect credit payments from GMNI based on the particular fees and rebates offered in GMNI's fee schedule. GMNI has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://listingcenter.nasdaq.com/rulebook/gemx/rules

MIAX PEARL LLC (MPRL):
The Firm will also collect credit payments from MPRL based on the particular fees and rebates offered in MPRL's fee schedule. MPRL has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://www.miaxoptions.com/fees/pearl
Information reflecting the MPRL's tiered pricing/payment schedule

NASDAQ OMX BX (XBXO):
The Firm will also collect credit payments from XBXO based on the particular fees and rebates offered in XBXO's fee schedule. XBXO has a tiered pricing/payment schedule. For detailed information, please see the exchange's public website: https://listingcenter.nasdaq.com/rulebook/bx/rules

# 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 |
|---|---|---|---|---|
| 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

## 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 |
|---|---|---|---|---|
| 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

### Option Contracts

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 |
|---|---|---|---|---|
| 0.27 | 19.14 | 23.26 | 49.82 | 7.78 |

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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| DASH Financial Technologies (DASH) | 25.76 | 32.76 | 15.25 | 29.97 | 13.03 | -10,435.70 | -0.4193 | -9,262.90 | -0.4199 | -10,584.90 | -0.4265 | -389.20 | -0.5466 |
| NYSE Arca Inc (ARCO) | 20.90 | 0.87 | 2.16 | 40.38 | 1.50 | 424.35 | 0.4648 | -324.05 | -0.0483 | -54,078.48 | -0.4879 | -19.35 | -0.1524 |
| NASDAQ Options Market LLC (XNDQ) | 7.84 | 1.64 | 2.39 | 13.99 | 0.01 | 1,001.96 | 0.4426 | 5,729.26 | 0.4127 | -33,836.14 | -0.9218 | 0.00 | 0.0000 |
| CBOE EDGX Options Exchange (EDGO) | 7.05 | 13.04 | 15.34 | 1.63 | 2.20 | -661.97 | -0.0790 | -152.14 | -0.0100 | -1,352.48 | -0.1663 | -549.65 | -0.7338 |
| Nasdaq PHLX LLC (XPHO) | 6.35 | 11.06 | 16.13 | 0.46 | 3.26 | -1,325.10 | -0.2100 | -3,650.29 | -0.1779 | -595.56 | -0.1855 | -45.80 | -0.2101 |
| CBOE Options Exchange (XCBO) | 6.15 | 9.81 | 15.87 | 1.04 | 0.80 | -396.06 | -0.0772 | -874.35 | -0.0486 | 521.84 | 0.1433 | 47.49 | 0.4611 |
| Nasdaq ISE LLC (XISX) | 4.49 | 0.21 | 0.32 | 1.25 | 48.26 | 165.39 | 0.4094 | 464.28 | 0.4091 | -2,749.64 | -0.8368 | -13,914.45 | -0.6217 |
| Nasdaq MCRY LLC (MCRY) | 4.47 | 13.31 | 0.12 | 3.79 | 0.11 | -1,763.40 | -0.1572 | 0.00 | 0.0000 | -2,925.60 | -0.1988 | -0.40 | -0.0800 |
| MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) | 4.00 | 6.32 | 10.79 | 0.51 | 0.39 | -23.75 | -0.0140 | 0.00 | 0.0000 | -46.70 | -0.0300 | 0.00 | 0.0000 |
| Global Execution Brokers LP (SUSQ) | 3.38 | 2.11 | 4.76 | 0.01 | 23.91 | -758.20 | -0.3334 | -3,558.77 | -0.2908 | -20.00 | -0.2000 | -3,757.97 | -0.4839 |
| NYSE American LLC (AMXO) | 2.89 | 4.56 | 7.51 | 0.53 | 0.00 | -147.36 | -0.0627 | -994.08 | -0.0818 | -134.04 | -0.0588 | 0.00 | 0.0000 |
| Matrix Executions LLC (MTRX) | 2.58 | 0.33 | 1.85 | 3.31 | 5.61 | -126.55 | -0.4722 | -3,474.90 | -0.5075 | -8,436.20 | -0.5164 | -615.30 | -0.4803 |
| CBOE BZX Options Exchange (BATO) | 0.99 | 0.72 | 1.90 | 0.82 | 0.01 | 781.90 | 0.5728 | 6,903.60 | 0.5354 | 255.45 | 0.1377 | 0.50 | 0.5000 |
| BOX Holdings Group LLC (XBOX) | 0.86 | 1.47 | 2.02 | 0.21 | 0.03 | -442.20 | -0.2512 | -769.90 | -0.2164 | -122.20 | -0.2489 | -0.40 | -0.2000 |
| MIAX EMERALD LLC (EMLD) | 0.81 | 0.15 | 0.47 | 1.27 | 0.45 | 142.60 | 0.5636 | 602.51 | 0.3213 | -6,082.41 | -0.4606 | -176.00 | -0.4000 |

| 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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| CBOE C2 Options Exchange (C2OX) | 0.58 | 0.69 | 1.21 | 0.27 | 0.42 | 850.62 | 0.4266 | 4,835.87 | 0.4177 | 1,027.86 | 0.3961 | 0.00 | 0.0000 |
| Nasdaq GEMX LLC (GMNI) | 0.35 | 0.40 | 0.83 | 0.17 | 0.00 | 367.55 | 0.5577 | 1,766.56 | 0.5466 | 111.06 | 0.4746 | 0.00 | 0.0000 |
| MIAX PEARL LLC (MPRL) | 0.33 | 0.28 | 0.74 | 0.21 | 0.00 | 363.56 | 0.5028 | 2,505.53 | 0.5037 | 351.40 | 0.5780 | 0.00 | 0.0000 |
| NASDAQ OMX BX (XBXO) | 0.22 | 0.26 | 0.35 | 0.18 | 0.00 | -280.00 | -0.6780 | -421.60 | -0.4633 | -28.00 | -0.0989 | 0.00 | 0.0000 |

## Material Aspects:

DASH Financial Technologies (DASH):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

NYSE Arca Inc (ARCO):
The Firm will also collect credit payments from NYSE based on the particular fees and rebates offered in ARCO's fee schedule. NYSE Arca Options has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

NASDAQ Options Market LLC (XNDQ):
The Firm will also collect credit payments from XNDQ based on the particular fees and rebates offered in XNDQ's fee schedule. XNDQ has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/nasdaq/rules

CBOE EDGX Options Exchange (EDGO):
The Firm will also collect credit payments from EDGO based on the particular fees and rebates offered in EDGO's fee schedule. EDGO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/edgx/

Nasdaq PHLX LLC (XPHO):
The Firm will also collect credit payments from XPHO based on the particular fees and rebates offered in XPHO's fee schedule. Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. XPHO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/phlx/rules

CBOE Options Exchange (XCBO):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from XCBO based on the particular fees and rebates offered in XCBO's fee schedule. XCBO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/xcbo/

Nasdaq ISE LLC (XISX):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from XISX based on the particular fees and rebates offered in XISX's fee schedule. XISX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/ise/rules

Nasdaq MCRY LLC (MCRY):
The Firm will also collect credit payments from MCRY based on the particular fees and rebates offered in MCRY's fee schedule. MCRY has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://https://listingcenter.nasdaq.com/rulebook/mrx/rules/mrx-options-7

MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO):
The Firm will also collect credit payments from XMIO based on the particular fees and rebates offered in XMIO's fee schedule. Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange

Global Execution Brokers LP (SUSQ):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

NYSE American LLC (AMXO):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from AMEX based on the particular fees and rebates offered in AMEX's fee schedule. AMEX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

Matrix Executions LLC (MTRX):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

CBOE BZX Options Exchange (BATO):

The Firm will also collect credit payments from BATO based on the particular fees and rebates offered in BATO's fee schedule. BATO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/bato/

BOX Holdings Group LLC (XBOX):
The Firm will also collect credit payments from XBOX based on the particular fees and rebates offered in XBOX's fee schedule. XBOX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://boxoptions.com/regulatory/fee-schedule/

MIAX EMERALD LLC (EMLD):
The Firm will also collect credit payments from EMLD based on the particular fees and rebates offered in EMLD's fee schedule. EMLD has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.miaxoptions.com/fees/emerald

CBOE C2 Options Exchange (C2OX):
The Firm will also collect credit payments from C2OX based on the particular fees and rebates offered in C2OX's fee schedule. C2OX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/ctwo

Nasdaq GEMX LLC (GMNI):
The Firm will also collect credit payments from GMNI based on the particular fees and rebates offered in GMNI's fee schedule. GMNI has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/gemx/rules

MIAX PEARL LLC (MPRL):
The Firm will also collect credit payments from MPRL based on the particular fees and rebates offered in MPRL's fee schedule. MPRL has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.miaxoptions.com/fees/pearl
Information reflecting the MPRL's tiered pricing/payment schedule

NASDAQ OMX BX (XBXO):
The Firm will also collect credit payments from XBXO based on the particular fees and rebates offered in XBXO's fee schedule. XBXO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/bx/rules

## 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 |
|---|---|---|---|---|
| 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

### 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 |
|---|---|---|---|---|
| 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

## Option Contracts

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 |
|---|---|---|---|---|
| 0.32 | 18.22 | 24.75 | 48.97 | 8.06 |

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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| DASH Financial Technologies (DASH) | 19.95 | 21.00 | 12.41 | 25.02 | 9.94 | -8,685.30 | -0.4145 | -14,367.30 | -0.4237 | -13,359.70 | -0.4437 | -446.30 | -0.6225 |
| NYSE Arca Inc (ARCO) | 17.18 | 0.92 | 2.74 | 32.90 | 2.77 | 521.85 | 0.3812 | -1,980.48 | -0.1197 | -57,679.60 | -0.4875 | -723.48 | -0.7264 |
| Matrix Executions LLC (MTRX) | 8.67 | 6.63 | 6.34 | 10.84 | 7.31 | -2,738.75 | -0.5061 | -10,693.85 | -0.4992 | -12,227.45 | -0.5072 | -1,626.70 | -0.5120 |
| NASDAQ Options Market LLC (XNDQ) | 8.62 | 1.88 | 2.85 | 15.45 | 0.01 | 1,437.87 | 0.4407 | 7,392.62 | 0.3607 | -39,255.78 | -0.8763 | -0.98 | -0.9800 |
| CBOE EDGX Options Exchange (EDGO) | 7.42 | 13.90 | 14.00 | 1.85 | 6.39 | -1,004.68 | -0.0870 | -182.70 | -0.0100 | -1,625.93 | -0.1505 | -5,030.58 | -0.5600 |
| Nasdaq PHLX LLC (XPHO) | 6.43 | 12.24 | 15.01 | 0.81 | 1.05 | -2,461.41 | -0.2100 | -5,172.09 | -0.1882 | -641.76 | -0.1372 | -14.38 | -0.2115 |
| CBOE Options Exchange (XCBO) | 6.38 | 10.76 | 14.81 | 1.42 | 0.67 | -381.85 | -0.0394 | -1,861.88 | -0.0667 | 293.98 | 0.0531 | 37.54 | 0.5521 |
| Nasdaq ISE LLC (XISX) | 5.21 | 0.27 | 0.46 | 1.31 | 54.68 | 293.88 | 0.3669 | 1,126.02 | 0.3390 | -8,143.37 | -0.7992 | -19,550.87 | -0.6389 |
| MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO) | 4.32 | 7.25 | 10.54 | 0.77 | 0.10 | -14.05 | -0.0049 | 0.00 | 0.0000 | -96.50 | -0.0298 | -0.40 | -0.2000 |
| Nasdaq MCRY LLC (MCRY) | 4.15 | 12.64 | 0.13 | 3.69 | 0.04 | -1,390.25 | -0.1121 | -1.20 | -0.0027 | -2,718.90 | -0.1741 | 0.00 | 0.0000 |
| NYSE American LLC (AMXO) | 3.80 | 6.36 | 8.91 | 0.89 | 0.00 | -345.12 | -0.0684 | -1,349.52 | -0.0743 | -313.92 | -0.0717 | 0.00 | 0.0000 |
| Global Execution Brokers LP (SUSQ) | 2.30 | 1.52 | 3.04 | 0.03 | 15.61 | -1,050.33 | -0.3994 | -3,184.86 | -0.2874 | -8.26 | -0.4859 | -2,634.30 | -0.5266 |
| MIAX EMERALD LLC | 1.65 | 0.24 | 0.70 | 2.69 | 1.41 | 219.05 | 0.5118 | -1,255.90 | -0.1935 | -8,158.95 | -0.5263 | -27.10 | -0.3080 |

| 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) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| (EMLD) | | | | | | | | | | | | | |
| CBOE BZX Options Exchange (BATO) | 1.23 | 0.83 | 2.58 | 0.91 | 0.00 | 1,327.95 | 0.5243 | 14,451.80 | 0.5876 | 1,617.70 | 0.3097 | 0.00 | 0.0000 |
| BOX Holdings Group LLC (XBOX) | 0.87 | 1.68 | 1.71 | 0.29 | 0.01 | -547.40 | -0.2170 | -1,109.30 | -0.2673 | -251.10 | -0.2715 | -0.20 | -0.2000 |
| CBOE C2 Options Exchange (C2OX) | 0.66 | 0.77 | 1.50 | 0.31 | 0.00 | 1,495.28 | 0.4226 | 9,971.52 | 0.4190 | 784.77 | 0.4244 | 0.00 | 0.0000 |
| Nasdaq GEMX LLC (GMNI) | 0.44 | 0.50 | 0.84 | 0.28 | 0.01 | 367.25 | 0.5523 | 2,291.63 | 0.5788 | 130.91 | 0.4903 | 0.85 | 0.8500 |
| MIAX PEARL LLC (MPRL) | 0.43 | 0.33 | 0.93 | 0.28 | 0.00 | 677.63 | 0.4847 | 4,854.21 | 0.5064 | 624.30 | 0.7217 | 0.00 | 0.0000 |
| NASDAQ OMX BX (XBXO) | 0.30 | 0.31 | 0.49 | 0.25 | 0.00 | -293.60 | -0.5757 | -753.21 | -0.5297 | -193.60 | -0.3774 | 0.00 | 0.0000 |

## Material Aspects:

DASH Financial Technologies (DASH):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

NYSE Arca Inc (ARCO):
The Firm will also collect credit payments from NYSE based on the particular fees and rebates offered in ARCO's fee schedule. NYSE Arca Options has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

Matrix Executions LLC (MTRX):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

NASDAQ Options Market LLC (XNDQ):
The Firm will also collect credit payments from XNDQ based on the particular fees and rebates offered in XNDQ's fee schedule. XNDQ has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/nasdaq/rules

CBOE EDGX Options Exchange (EDGO):
The Firm will also collect credit payments from EDGO based on the particular fees and rebates offered in EDGO's fee schedule. EDGO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/edgx/

Nasdaq PHLX LLC (XPHO):
The Firm will also collect credit payments from XPHO based on the particular fees and rebates offered in XPHO's fee schedule. Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. XPHO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/phlx/rules

CBOE Options Exchange (XCBO):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from XCBO based on the particular fees and rebates offered in XCBO's fee schedule. XCBO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/xcbo/

Nasdaq ISE LLC (XISX):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from XISX based on the particular fees and rebates offered in XISX's fee schedule. XISX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/ise/rules

MIAMI INTERNATIONAL SECURITIES EXCHANGE (XMIO):
The Firm will also collect credit payments from XMIO based on the particular fees and rebates offered in XMIO's fee schedule. Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange

Nasdaq MCRY LLC (MCRY):
The Firm will also collect credit payments from MCRY based on the particular fees and rebates offered in MCRY's fee schedule. MCRY has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://https://listingcenter.nasdaq.com/rulebook/mrx/rules/mrx-options-7

NYSE American LLC (AMXO):
Pursuant to an exchange-sponsored marketing fee program, registered market-makers may receive payments from the exchange as a result of their designation as a 'preferenced' market-maker by an exchange member. With respect to such exchange program, the Firm may receive

payments from 'preferenced' registered market makers for options orders the Firm sends to the exchange. The Firm will also collect credit payments from AMEX based on the particular fees and rebates offered in AMEX's fee schedule. AMEX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

Global Execution Brokers LP (SUSQ):
The Firm receives payment based on the order, the order properties and the underlying symbol of the security. The payment schedules vary by symbol groups which are aggred upon by the Firm and the Venue. The payment schedules are not contingent upon volume sent to the Venue, a minimum quantity of orders sent to the Venue or any other threshold or criteria

MIAX EMERALD LLC (EMLD):
The Firm will also collect credit payments from EMLD based on the particular fees and rebates offered in EMLD's fee schedule. EMLD has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.miaxoptions.com/fees/emerald

CBOE BZX Options Exchange (BATO):
The Firm will also collect credit payments from BATO based on the particular fees and rebates offered in BATO's fee schedule. BATO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/bato/

BOX Holdings Group LLC (XBOX):
The Firm will also collect credit payments from XBOX based on the particular fees and rebates offered in XBOX's fee schedule. XBOX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://boxoptions.com/regulatory/fee-schedule/

CBOE C2 Options Exchange (C2OX):
The Firm will also collect credit payments from C2OX based on the particular fees and rebates offered in C2OX's fee schedule. C2OX has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://markets.cboe.com/us/options/membership/fee_schedule/ctwo

Nasdaq GEMX LLC (GMNI):
The Firm will also collect credit payments from GMNI based on the particular fees and rebates offered in GMNI's fee schedule. GMNI has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/gemx/rules

MIAX PEARL LLC (MPRL):
The Firm will also collect credit payments from MPRL based on the particular fees and rebates offered in MPRL's fee schedule. MPRL has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://www.miaxoptions.com/fees/pearl
Information reflecting the MPRL's tiered pricing/payment schedule

NASDAQ OMX BX (XBXO):
The Firm will also collect credit payments from XBXO based on the particular fees and rebates offered in XBXO's fee schedule. XBXO has a tiered pricing/payment schedule. For detailed information, please see the exchange’s public website: https://listingcenter.nasdaq.com/rulebook/bx/rules