Guggenheim Securities, LLC - Held NMS Stocks and Options Order Routing Public Report

Generated on Tue Jan 30 2024 16:02:07 GMT-0500 (Eastern Standard Time)

4th Quarter, 2023

October 2023

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
-	-	-	-	-

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)

October 2023

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
-	-	-	-	-

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)

October 2023

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
100.00	0.25	6.54	18.36	74.85

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)
NYSE ARCA OPTIONS	22.93	0.00	7.23	40.68	20.03	0.00	0.0000	-1,276.27	-79.0260	683.57	31.8829	597.11	44.7273
Cboe Exchange, Inc.	14.90	0.00	8.68	1.74	18.72	0.00	0.0000	-13.95	-0.9053	0.00	0.0000	-265.51	-11.8268
Nasdaq MRX, LLC	8.36	0.00	1.27	0.00	11.05	0.00	0.0000	-71.39	-15.2869	0.00	0.0000	-99.11	-2.4667
Nasdaq PHLX LLC	7.80	0.00	4.52	0.19	9.98	0.00	0.0000	-2.46	-0.7935	0.00	0.0000	-18.01	-2.2855
Nasdaq ISE, LLC	7.37	0.00	0.72	0.00	9.79	0.00	0.0000	-7.77	-37.0000	0.00	0.0000	447.01	17.0810
Cboe BZX Exchange, Inc.	6.89	0.00	2.71	30.69	1.44	0.00	0.0000	-126.95	-49.3969	1,135.95	102.4301	-418.15	-62.8797
Cboe EDGX Exchange, Inc.	4.90	0.00	2.89	0.06	6.28	0.00	0.0000	2.13	1.0000	0.01	1.0000	598.94	55.6636
Cboe C2 Exchange, Inc.	4.88	0.00	3.25	0.39	6.13	0.00	0.0000	-421.55	-54.5343	0.00	0.0000	-444.36	-33.1118
Matrix Executions, LLC / Simplex Trading, LLC	3.36	19.05	13.74	6.13	1.72	-1.28	-4.0000	-804.80	-25.2605	-612.32	-15.7126	6,161.31	15.3902
MIAX Emerald, LLC	2.88	0.00	0.54	3.55	2.92	0.00	0.0000	-18.85	-50.9459	158.70	58.9963	-121.04	-25.9186
Miami International Securities Exchange, LLC	2.76	0.00	3.44	0.00	3.38	0.00	0.0000	-12.48	-1.6421	0.00	0.0000	31.28	7.8990
NYSE American LLC	2.71	0.00	3.07	0.00	3.35	0.00	0.0000	0.60	0.0902	0.00	0.0000	-19.76	-2.0000
BOX Exchange LLC	2.33	0.00	4.88	0.06	2.67	0.00	0.0000	135.70	16.7324	0.00	0.0000	220.48	78.4626

Material Aspects:

NYSE ARCA OPTIONS:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to NYSE ARCA Options Fees and Charges available at https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

Cboe Exchange, Inc.:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to CBOE Pricing Schedule available at https://cdn.cboe.com/resources/membership/Cboe_FeeSchedule.pdf

Nasdaq MRX, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to Nasdaq MRX [MCRY] Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/mrx/rules/MRX%20Options%207

Nasdaq PHLX LLC:
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Additionally, please refer to Philadelphia Options Exchange Options Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/phlx/rules

Nasdaq ISE, LLC:
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Additionally, please refer to International Securities Exchange, LLC Options Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/ise/rules

Cboe BZX Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to CBOE BZX Options Exchange Options Pricing Schedule available at https://www.cboe.com/us/options/membership/fee_schedule/bzx/

Cboe EDGX Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through BofA Securities, Inc. ("BofA") and BofA makes all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/

Additionally, please refer to CBOE EDGX Options Exchange Options Pricing Schedule available at https://www.cboe.com/us/options/membership/fee_schedule/edgx/

Cboe C2 Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through BofA Securities, Inc. ("BofA") and BofA makes all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/

Additionally, please refer to CBOE Pricing Schedule available at https://cdn.cboe.com/resources/membership/Cboe_FeeSchedule.pdf

Matrix Executions, LLC / Simplex Trading, LLC:
Matrix Executions, LLC ("Matrix"): Guggenheim Securities, LLC ("GS") pays $0.04 per contract, plus exchange, regulatory, market data and clearing fees and may receive exchange rebates. GS receives a rebate of $0.25 per spread contract for relevant orders traded using Matrix algorithms for contracts that trade in penny increments and receives a rebate of $0.40 per spread contract for relevant orders traded using Matrix algorithms for contracts that trade in non-penny increments.

Furthermore, GS pays a flat fee of $0.05 per contract for paired orders eligible for exchange floor crossing plus exchange, regulatory, market data and clearing fees, but does not receive any rebates for such paired orders that are crossed on the exchange. For additional information regarding Matrix's routing statistics, please refer to the relevant quarterly disclosure available at https://www.matrixexecutions.com/rule-606

MIAX Emerald, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to MIAX Emerald LLC [EMLD] Pricing Schedule available at https://www.miaxglobal.com/markets/us-options/emerald-options/fees-archive

Miami International Securities Exchange, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to Miami International Securities Exchange [XMIO] Pricing Schedule available at https://www.miaxglobal.com/markets/us-options/all-options-exchanges/fees-archive

NYSE American LLC:
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Additionally, please refer to NYSE AMEX Options [AMXO] Pricing Schedule available at https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

BOX Exchange LLC:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/

Additionally, please refer to BOX Exchange, LLC Options Pricing Schedule available at https://boxexchange.com/assets/BOX-Fee-Schedule-as-of-April-3-2023-1.pdf

November 2023

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
-	-	-	-	-

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)

November 2023

Non-S&P 500 Stocks

Summary

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Venues

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November 2023

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
100.00	0.01	2.73	5.36	91.90

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)
NYSE ARCA OPTIONS	24.59	0.00	4.05	32.60	24.73	0.00	0.0000	-36.26	-43.6867	335.31	44.2946	1,997.02	49.0427
Nasdaq ISE, LLC	17.88	0.00	3.18	0.00	19.36	0.00	0.0000	-75.48	-36.6408	0.00	0.0000	878.92	10.7172
Cboe Exchange, Inc.	17.40	0.00	8.38	9.44	18.14	0.00	0.0000	0.00	0.0000	0.00	0.0000	-124.99	-2.6419
Nasdaq PHLX LLC	6.61	0.00	5.78	0.00	7.02	0.00	0.0000	0.00	0.0000	0.00	0.0000	-72.28	-2.0000
NYSE American LLC	4.87	0.00	3.76	0.00	5.18	0.00	0.0000	0.00	0.0000	0.00	0.0000	-25.48	-2.0000
BOX Exchange LLC	4.72	0.00	7.23	0.00	4.93	0.00	0.0000	71.00	16.3972	0.00	0.0000	643.04	54.8201
Nasdaq MRX, LLC	4.18	0.00	2.89	0.00	4.46	0.00	0.0000	-94.08	-11.7895	0.00	0.0000	-116.38	-2.1145
Cboe C2 Exchange, Inc.	4.12	0.00	4.34	3.98	4.13	0.00	0.0000	-539.17	-45.3847	9.60	80.0000	-300.07	-25.9352
Cboe EDGX Exchange, Inc.	3.70	0.00	5.20	0.00	3.87	0.00	0.0000	4.91	0.9959	0.00	0.0000	1,306.85	35.7943
Miami International Securities Exchange, LLC	3.14	0.00	3.76	0.00	3.31	0.00	0.0000	-41.98	-1.2830	0.00	0.0000	154.90	14.9662

Material Aspects:

NYSE ARCA OPTIONS:
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Additionally, please refer to NYSE ARCA Options Fees and Charges available at https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

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Additionally, please refer to International Securities Exchange, LLC Options Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/ise/rules

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NYSE American LLC:
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Additionally, please refer to Nasdaq MRX [MCRY] Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/mrx/rules/MRX%20Options%207

Cboe C2 Exchange, Inc.:
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Miami International Securities Exchange, LLC:
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Additionally, please refer to Miami International Securities Exchange [XMIO] Pricing Schedule available at https://www.miaxglobal.com/markets/us-options/all-options-exchanges/fees-archive

December 2023

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100.00	0.07	1.55	2.45	95.93

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)
Cboe Exchange, Inc.	59.77	0.00	2.98	11.28	61.97	0.00	0.0000	-14.02	-25.9722	0.00	0.0000	-153.18	-6.5128
Nasdaq ISE, LLC	5.85	0.00	0.60	0.00	6.09	0.00	0.0000	-16.32	-48.0000	0.00	0.0000	175.98	14.9389
NYSE ARCA OPTIONS	4.67	0.00	0.00	24.06	4.26	0.00	0.0000	0.00	0.0000	96.00	50.0000	927.24	44.5788
Nasdaq PHLX LLC	3.77	0.00	1.19	0.00	3.91	0.00	0.0000	0.00	0.0000	0.00	0.0000	-155.20	-32.8814

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)
NYSE American LLC	3.13	0.00	0.60	0.00	3.25	0.00	0.0000	0.00	0.0000	0.00	0.0000	-128.03	-36.3722
Cboe EDGX Exchange, Inc.	2.83	0.00	0.60	0.00	2.94	0.00	0.0000	0.03	1.0000	0.00	0.0000	-69.56	-14.2541
Matrix Executions, LLC / Simplex Trading, LLC	2.83	0.00	16.07	9.02	2.46	0.00	0.0000	-419.19	-44.1718	-1,204.96	-38.2770	7,148.02	25.9494
Cboe C2 Exchange, Inc.	2.60	0.00	0.00	0.00	2.71	0.00	0.0000	0.00	0.0000	0.00	0.0000	-348.60	-34.3787
BOX Exchange LLC	2.20	0.00	2.98	0.00	2.25	0.00	0.0000	165.20	33.9220	0.00	0.0000	252.36	18.7350
Nasdaq MRX, LLC	2.13	0.00	0.60	0.00	2.21	0.00	0.0000	-46.80	-52.0000	0.00	0.0000	-45.13	-2.6879
Miami International Securities Exchange, LLC	2.02	0.00	1.79	0.00	2.08	0.00	0.0000	-2.60	-1.9259	0.00	0.0000	-7.90	-3.7264

Material Aspects:

Cboe Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to CBOE Pricing Schedule available at https://cdn.cboe.com/resources/membership/Cboe_FeeSchedule.pdf

Nasdaq ISE, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/

Additionally, please refer to International Securities Exchange, LLC Options Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/ise/rules

NYSE ARCA OPTIONS:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to NYSE ARCA Options Fees and Charges available at https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

Nasdaq PHLX LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/

Additionally, please refer to Philadelphia Options Exchange Options Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/phlx/rules

NYSE American LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to NYSE AMEX Options [AMXO] Pricing Schedule available at https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

Cboe EDGX Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through BofA Securities, Inc. ("BofA") and BofA makes all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/

Additionally, please refer to CBOE EDGX Options Exchange Options Pricing Schedule available at https://www.cboe.com/us/options/membership/fee_schedule/edgx/

Matrix Executions, LLC / Simplex Trading, LLC:

Matrix Executions, LLC (“Matrix”): Guggenheim Securities, LLC (“GS”) pays $0.04 per contract, plus exchange, regulatory, market data and clearing fees and may receive exchange rebates. GS receives a rebate of $0.25 per spread contract for relevant orders traded using Matrix algorithms for contracts that trade in penny increments and receives a rebate of $0.40 per spread contract for relevant orders traded using Matrix algorithms for contracts that trade in non-penny increments.

Furthermore, GS pays a flat fee of $0.05 per contract for paired orders eligible for exchange floor crossing plus exchange, regulatory, market data and clearing fees, but does not receive any rebates for such paired orders that are crossed on the exchange. For additional information regarding Matrix’s routing statistics, please refer to the relevant quarterly disclosure available at https://www.matrixexecutions.com/rule-606

Cboe C2 Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through BofA Securities, Inc. (“BofA”) and BofA makes all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA’s routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/

Additionally, please refer to CBOE Pricing Schedule available at https://cdn.cboe.com/resources/membership/Cboe_FeeSchedule.pdf

BOX Exchange LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets(“Dash”) and BofA Securities, Inc. (“BofA”) and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA’s routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash’s routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/

Additionally, please refer to BOX Exchange, LLC Options Pricing Schedule available at https://boxexchange.com/assets/BOX-Fee-Schedule-as-of-April-3-2023-1.pdf

Nasdaq MRX, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets(“Dash”) and BofA Securities, Inc. (“BofA”) and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA’s routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash’s routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to Nasdaq MRX [MCRY] Pricing Schedule available at https://listingcenter.nasdaq.com/rulebook/mrx/rules/MRX%20Options%207

Miami International Securities Exchange, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets(“Dash”) and BofA Securities, Inc. (“BofA”) and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA’s routing statistics, please refer to the relevant quarterly disclosure available at http://public.s3.com/rule606/bofas/. For additional information regarding Dash’s routing statistics, please refer to the relevant quarterly disclosure available at https://dashfinancial.comrule-606/
Additionally, please refer to Miami International Securities Exchange [XMIO] Pricing Schedule available at https://www.miaxglobal.com/markets/us-options/all-options-exchanges/fees-archive