

StoneX Financial, Inc. - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2020

January 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
99.97	88.72	3.10	5.90	2.28

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)
CITADEL SECURITIES LLC	87.71	88.72	75.78	83.49	75.61	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	9.80	9.09	17.49	11.08	23.78	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	2.03	1.94	5.83	2.12	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	0.25	0.05	0.90	3.07	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.17	0.19	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	0.03	0.02	0.00	0.00	0.61	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	0.01	0.00	0.00	0.24	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

UBS Securities, LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

JP Morgan Securities, LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Morgan Stanley & Co., LLC:

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Virtu Americas, LLC:
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BofA Securities, Inc.:
INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

January 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
99.98	75.51	8.17	11.39	4.92

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)
CITADEL SECURITIES LLC	51.08	54.80	44.16	39.13	33.09	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	38.39	38.96	39.39	36.65	32.01	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	4.90	1.62	12.12	18.63	11.51	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	1.57	1.17	1.08	1.40	8.99	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	1.56	1.34	0.43	1.40	7.19	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	1.50	1.24	1.52	1.40	5.76	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	0.81	0.87	1.30	0.47	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.11	0.00	0.00	0.93	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Goldman, Sachs & Co.	0.07	0.00	0.00	0.00	1.44	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
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BofA Securities, Inc.:
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Clearpool Execution Services, LLC:
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Goldman, Sachs & Co.:
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January 2020

Options
Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
93.23	37.12	36.57	26.30	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)
CITADEL SECURITIES LLC	95.73	98.72	96.11	90.99	0.00	1,907.50	25.7701	19,891.90	12.6149	10,139.35	18.6228	2,026.40	10.4196
BofA Securities, Inc.	3.87	0.21	3.89	9.01	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	4,498.00	4.8591
Credit Suisse First Boston	0.39	1.06	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	26.50	5.0000

Material Aspects:

CITADEL SECURITIES LLC:
INTL received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options

BofA Securities, Inc.:
INTL received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options.

Credit Suisse First Boston:
INTL received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options.

February 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
100.00	87.00	3.15	7.18	2.66

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)
CITADEL SECURITIES LLC	85.53	87.63	75.43	70.21	70.08	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	9.92	9.40	13.49	11.40	18.85	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	2.63	2.48	7.61	3.04	0.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	1.55	0.26	3.11	13.83	8.61	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	0.23	0.11	0.35	1.06	1.64	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.12	0.11	0.00	0.15	0.41	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	0.02	0.00	0.00	0.30	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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BofA Securities, Inc.:
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Morgan Stanley & Co., LLC:
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Virtu Americas, LLC:
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February 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
100.00	66.04	10.17	20.38	3.41

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)
CITADEL SECURITIES LLC	49.77	62.48	32.15	20.31	32.16	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	31.38	34.47	28.89	23.47	26.35	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	11.06	0.72	23.12	37.37	18.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	2.38	0.48	4.93	6.72	5.60	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	1.97	0.62	3.75	4.96	4.98	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	1.74	0.42	3.12	4.51	6.64	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	0.85	0.79	1.25	0.24	4.56	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.78	0.02	2.71	2.22	1.04	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	0.05	0.00	0.07	0.21	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Goldman, Sachs & Co.	0.01	0.00	0.00	0.00	0.21	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

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JP Morgan Securities, LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

BofA Securities, Inc.:

INTL did not receive payment for order flow for Held Limit or Held Marketable Limit Orders during this period

Morgan Stanley & Co., LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Virtu Americas, LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Clearpool Execution Services, LLC:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Credit Suisse First Boston:

INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

Goldman, Sachs & Co.:
INTL did not receive payment for order flow in Held Limit or Held Marketable Limit orders from this venue for this period.

February 2020

Options
Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non- Directed Orders	Non-Marketable Limit Orders as % of Non- Directed Orders	Other Orders as % of Non-Directed Orders
92.65	31.64	29.38	38.98	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)
CITADEL SECURITIES LLC	93.96	99.44	90.12	92.40	0.00	1,436.35	27.9391	16,663.70	14.3276	10,081.10	17.6586	1,775.70	10.7998
BofA Securities, Inc.	5.86	0.19	9.88	7.45	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	5,461.00	4.8537
Credit Suisse First Boston	0.18	0.37	0.00	0.15	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	1.00	5.0000

Material Aspects:

CITADEL SECURITIES LLC:
INTL received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options

BofA Securities, Inc.:
INTL received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options.

Credit Suisse First Boston:
INTL received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options.

March 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
100.00	82.91	3.13	11.65	2.31

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)
CITADEL SECURITIES LLC	84.62	87.31	69.02	70.39	81.09	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	9.97	9.78	17.97	8.48	13.47	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	2.73	2.64	10.13	1.85	0.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	1.93	0.07	2.10	14.55	4.92	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	0.60	0.04	0.57	4.68	0.26	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	0.09	0.11	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	0.03	0.03	0.00	0.05	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	0.01	0.01	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	0.01	0.01	0.00	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	0.01	0.00	0.19	0.00	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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Citigroup Global Markets Inc.:

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March 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
100.00	62.71	11.65	23.39	2.25

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)
CITADEL SECURITIES LLC	52.79	70.35	30.36	17.62	45.24	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
UBS Securities, LLC	27.74	27.22	35.39	25.86	22.13	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
JP Morgan Securities, LLC	11.29	0.24	19.90	36.45	13.31	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
BofA Securities, Inc.	2.33	0.22	4.92	6.73	2.24	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Morgan Stanley & Co., LLC	1.44	0.22	2.46	4.14	2.24	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
StoneX Financial, Inc.	1.36	1.51	1.19	0.46	7.56	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Credit Suisse First Boston	1.12	0.10	2.35	3.03	3.50	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Clearpool Execution Services, LLC	1.02	0.01	1.89	3.37	0.42	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Virtu Americas, LLC	0.88	0.15	1.46	2.34	3.08	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Citigroup Global Markets Inc.	0.02	0.00	0.08	0.00	0.28	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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March 2020

Options Summary

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93.31	35.70	15.28	49.02	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)
CITADEL SECURITIES LLC	93.19	99.83	91.09	89.01	0.00	693.80	25.1650	10,681.75	15.9593	12,295.80	17.9433	1,600.45	12.8334
BofA Securities, Inc.	6.51	0.17	8.91	10.39	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	2,760.00	3.0835
Credit Suisse First Boston	0.18	0.00	0.00	0.36	0.00	0.00	0.0000	0.50	5.0000	0.00	0.0000	0.00	0.0000
Citadel Execution Services	0.12	0.00	0.00	0.24	0.00	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

CITADEL SECURITIES LLC:
INTL received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options

BofA Securities, Inc.:
INTL received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options.

Credit Suisse First Boston:
INTL received payment for order flow in Options at a rate of 0.05 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options.

Citadel Execution Services:
INTL received payment for order flow in Options at a rate of 0.012 per executed contract in Held Limit and Held Marketable Orders. INTL did not receive payment for order flow in trades involving Index Options