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

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1st Quarter, 2021

January 2021

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
93.99	81.62	3.08	11.03	4.27

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	84.73	85.66	76.90	79.72	85.40	1,540.83	10.0000	53.39	9.9998	122.81	10.0006	44.09	10.0000
UBS Securities, LLC	15.10	14.16	23.10	20.13	14.40	641.03	9.9844	328.88	10.0000	225.40	24.4897	75.15	10.9334

Material Aspects:

CITADEL SECURITIES LLC:
SFI did receive payment for order flow at a rate of $0.001 per share for orders sent to this venue for this period.

UBS Securities, LLC:
SFI did receive payment for order flow at a rate of $0.001 per share for orders sent to this venue for this period.

January 2021

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
83.14	71.01	12.65	12.64	3.71

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	61.58	69.15	28.92	48.36	73.25	9,380.74	9.7969	3,344.32	9.7238	718.40	9.9863	209.47	8.3275
UBS Securities, LLC	37.85	30.30	70.50	50.81	26.66	7,244.26	9.3905	4,597.13	6.2438	5,943.23	19.3284	1,267.70	11.1445

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January 2021

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	11.26	32.35	56.38	0.02

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)
Matrix Executions, LLC / Simplex Trading, LLC	81.41	80.52	93.95	74.42	0.00	759.95	10.7856	2,848.76	3.7253	17,747.26	15.5608	28,729.91	15.7074
CITADEL SECURITIES LLC	15.02	5.36	4.29	23.08	100.00	0.00	0.0000	63.70	10.0000	75.80	10.3694	0.00	0.0000

Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
SFI will receive pass through $0.07 rebate on QCC crosses executed on BOX floor only when rebate is received by Matrix from the BOX exchange.
SFI did not receive payment for order flow in trades involving Index Options.

CITADEL SECURITIES LLC:
SFI received payment for order flow at a rate of 0.10 per executable contract in options that traded in penny increments.
SFI received payment for order flow of 0.25 per executable contract in all other equity options.
SFI did not receive payment for order flow in trades involving Index Options

February 2021

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
93.47	83.43	2.81	10.24	3.53

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	83.09	84.09	74.91	77.31	82.79	1,122.93	10.0000	378.10	10.0000	69.34	10.0020	17.22	2.7069
UBS Securities, LLC	16.87	15.91	24.74	22.41	17.21	547.44	10.0000	266.64	10.0273	152.06	22.5741	83.58	12.5547

Material Aspects:

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February 2021

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
84.17	76.02	8.44	12.74	2.79

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	63.25	68.77	47.08	42.37	57.13	9,100.71	9.7718	4,226.99	9.8141	913.18	9.8916	122.90	6.2739
UBS Securities, LLC	36.73	31.23	52.78	57.54	42.87	10,845.02	9.9294	7,255.75	10.1732	5,841.32	18.0115	1,561.64	10.7779

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SFI did receive payment for order flow at a rate of $0.001 per share for orders sent to this venue for this period.

February 2021

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	5.91	21.73	72.36	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/ Received for Market Orders(cents per hundred shares)	Net Payment Paid/ Received for Marketable Limit Orders(USD)	Net Payment Paid/ Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/ Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/ Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/ Received for Other Orders(cents per hundred shares)
Matrix Executions, LLC / Simplex Trading, LLC	87.87	74.16	92.23	87.68	0.00	446.63	9.6485	6,317.27	10.0981	28,673.97	14.2628	25,125.84	17.3125
CITADEL SECURITIES LLC	8.07	11.01	3.61	9.16	0.00	0.00	0.0000	63.60	10.0000	88.50	11.3462	0.00	0.0000

Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:
SFI received payment for order flow in Options at a rate of 0.035 per executed contract from this venue.
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SFI did not receive payment for order flow in trades involving Index Options.

CITADEL SECURITIES LLC:
SFI received payment for order flow at a rate of 0.10 per executable contract in options that traded in penny increments.
SFI received payment for order flow of 0.25 per executable contract in all other equity options.
SFI did not receive payment for order flow in trades involving Index Options

March 2021

S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
93.18	81.30	3.11	11.94	3.65

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	84.87	85.53	71.30	82.22	90.53	1,244.92	10.0001	112.09	10.0005	87.01	9.9992	32.22	7.9830
UBS Securities, LLC	15.10	14.46	28.70	17.78	8.95	634.97	9.9843	319.32	10.0259	287.94	24.0507	50.05	11.0157

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UBS Securities, LLC:
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March 2021

Non-S&P 500 Stocks

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
81.12	73.15	8.68	15.56	2.64

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	59.79	65.72	43.75	38.36	73.66	13,471.52	9.9636	2,350.96	9.9115	938.00	9.9999	237.77	5.8400
UBS Securities, LLC	40.16	34.26	56.21	61.46	24.81	13,426.28	9.9429	6,969.39	10.2719	7,547.35	20.4318	764.08	11.0218

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March 2021

Options

Summary

Non-Directed Orders as % of All Orders	Market Orders as % of Non-Directed Orders	Marketable Limit Orders as % of Non-Directed Orders	Non-Marketable Limit Orders as % of Non-Directed Orders	Other Orders as % of Non-Directed Orders
100.00	10.43	38.24	51.34	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)
Matrix Executions, LLC / Simplex Trading, LLC	86.79	87.32	95.17	80.44	0.00	-149.09	-2.8253	7,175.02	4.9326	39,217.46	11.6982	28,404.00	14.6675
CITADEL SECURITIES LLC	10.48	1.45	3.24	17.71	0.00	0.00	0.0000	55.30	10.0000	92.30	10.1989	0.00	0.0000

Material Aspects:

Matrix Executions, LLC / Simplex Trading, LLC:
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