

Evercore ISI - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2022

October 2022

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 2022

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 2022

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	13.84	40.25	45.91	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)
CBOE	42.75	29.69	36.60	59.52	0.00	237.0000	4.6057	888.0000	11.6768	685.0000	7.8222	0.0000	0.0000
ISE	21.13	16.77	19.33	26.52	0.00	407.0000	4.4151	2,228.0000	24.5914	-519.0000	-8.7408	0.0000	0.0000
PHLX	6.76	16.41	3.30	1.41	0.00	190.0000	4.2593	573.0000	33.1021	65.0000	11.9927	0.0000	0.0000
EDGX	6.33	11.98	5.98	1.72	0.00	-715.0000	-34.1653	-6.0000	-0.2588	-81.0000	-37.2545	0.0000	0.0000
ARCA	3.64	5.68	3.25	2.22	0.00	-313.0000	-33.9870	-4.0000	-0.4327	-301.0000	-16.3094	0.0000	0.0000
MIAX	3.41	7.81	1.96	0.86	0.00	-151.0000	-13.9870	21.0000	5.8975	-10.0000	-11.7033	0.0000	0.0000
BOX	3.31	4.90	4.59	0.82	0.00	-317.0000	-44.5792	-219.0000	-25.6061	-47.0000	-40.9483	0.0000	0.0000
BX	2.57	0.36	6.80	0.77	0.00	3.0000	47.2500	2,059.0000	42.3931	81.0000	58.7899	0.0000	0.0000
AMEX	2.46	4.48	2.06	1.04	0.00	39.0000	5.6534	35.0000	10.5988	14.0000	4.9667	0.0000	0.0000
HEXAX	1.32	1.25	0.98	1.68	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

CBOE:

Evercore is not a member of the CBOE Exchange and accesses liquidity through DASH Financial. DASH Financial is charged fees by CBOE Exchange and passes fees and potential credits to Evercore. The CBOE Exchange fee schedule can be accessed at: https://www.cboe.com/us/options/membership/fee_schedule/cone/. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Evercore ISI receives reduced rates from the market centers based on DASH Financial arrangements and volumes DASH Financial has with the exchanges. Evercore is not a party to the payment arrangements between DASH Financial and the exchanges and Dash Financial might not pass exact charges and rebates to Evercore. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing,. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Details of these arrangements are made available via DASH Financial 'own disclosure (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf)

ISE:

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PHLX:

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EDGX:

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ARCA:

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MIAX:

Evercore is not a member of the Miami Intl Exchange and accesses liquidity through DASH Financial. DASH Financial is charged fees by Miami Intl Exchange and passes fees and potential credits to Evercore. The Miami Intl Exchange fee schedule can be accessed at: <https://www.miaxoptions.com/fees>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Evercore ISI receives reduced rates from the market centers based on DASH Financial arrangements and volumes DASH Financial has with the exchanges. Evercore is not a party to the payment arrangements between DASH Financial and the exchanges and Dash Financial might not pass exact charges and rebates to Evercore. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing,.. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Details of these arrangements are made available via DASH Financial 'own disclosure (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf).

BOX:

Evercore is not a member of the BOX Exchange and accesses liquidity through DASH Financial. DASH Financial is charged fees by BOX Exchange and passes fees and potential credits to Evercore. The BOX Exchange fee schedule can be accessed at: <https://boxoptions.com/assets/BOX-Exchange-Fee-Schedule-as-of-September-1-2016-5.pdf>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Evercore ISI receives reduced rates from the market centers based on DASH Financial arrangements and volumes DASH Financial has with the exchanges. Evercore is not a party to the payment arrangements between DASH Financial and the exchanges and Dash Financial might not pass exact charges and rebates to Evercore. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing,.. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Details of these arrangements are made available via DASH Financial 'own disclosure (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf).

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AMEX:

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HEXAX:

Hamilton Execution Services LLC (HEXAX) is an options broker on the NYSEAmerican exchange. Certain executed flow on the NYSEAmerican reflect the firm directing orders to be crossed by HEXAX. HEXAX charges Evercore \$0.15 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.075 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, HEXAX will still charge Evercore the \$0.15 on the larger trade, resulting in potentially higher per contract charges. Evercore pays no connectivity fees, has no payment for order flow arrangements with this venue, does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

November 2022

S&P 500 Stocks

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	38.93	31.46	39.72	48.14	0.00	344.0000	6.7339	910.0000	16.7852	649.0000	10.2368	0.0000	0.0000
ISE	19.41	15.94	17.33	25.36	0.00	476.0000	6.7023	-91.0000	-3.8100	272.0000	5.5010	0.0000	0.0000
PHLX	9.77	19.02	3.83	1.80	0.00	592.0000	10.5965	201.0000	26.0931	60.0000	5.9930	0.0000	0.0000
EDGX	7.18	12.44	4.18	2.40	0.00	-678.0000	-25.3959	-23.0000	-7.0673	-212.0000	-32.0030	0.0000	0.0000
ARCA	4.88	3.64	4.44	6.79	0.00	-146.0000	-23.3355	138.0000	17.6518	-285.0000	-10.1082	0.0000	0.0000
MIAX	3.53	4.93	1.31	3.25	0.00	-104.0000	-14.4313	-8.0000	-10.0000	-47.0000	-13.9676	0.0000	0.0000
BOX	3.35	4.61	3.66	1.50	0.00	-234.0000	-38.6386	-139.0000	-22.1622	-154.0000	-37.4455	0.0000	0.0000
AMEX	3.11	4.47	2.70	1.62	0.00	362.0000	30.0788	254.0000	61.8248	71.0000	19.0642	0.0000	0.0000
BX	2.91	1.20	8.28	1.44	0.00	22.0000	47.4894	502.0000	54.6076	311.0000	54.9576	0.0000	0.0000
NOM	1.79	0.46	3.22	2.52	0.00	14.0000	54.0000	259.0000	53.3333	608.0000	55.8138	0.0000	0.0000

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EDGX:

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ARCA:

Evercore is not a member of the NYSE Arca Options and accesses liquidity through DASH Financial. DASH Financial is charged fees by NYSE Arca Options and passes fees and potential credits to Evercore. The NYSE Arca Options fee schedule can be accessed at: https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Evercore ISI receives reduced rates from the market centers based on DASH Financial arrangements and volumes DASH Financial has with the exchanges. Evercore is not a party to the payment arrangements between DASH Financial and the exchanges and Dash Financial might not pass exact charges and rebates to Evercore. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing,.. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Details of these arrangements are made available via DASH Financial 'own disclosure (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf).

MIAX:

Evercore is not a member of the Miami Intl Exchange and accesses liquidity through DASH Financial. DASH Financial is charged fees by Miami Intl Exchange and passes fees and potential credits to Evercore. The Miami Intl Exchange fee schedule can be accessed at: <https://www.miaxoptions.com/fees>. DASH Financial at: (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Evercore ISI receives reduced rates from the market centers based on DASH Financial arrangements and volumes DASH Financial has with the exchanges. Evercore is not a party to the payment arrangements between DASH Financial and the exchanges and Dash Financial might not pass exact charges and rebates to Evercore. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing,.. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Details of these arrangements are made available via DASH Financial 'own disclosure (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf).

BOX:

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AMEX:

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BX:

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NOM:

Evercore is not a member of the NASDAQ Options Market (NOM) accesses liquidity through DASH Financial. DASH Financial is charged fees by NASDAQ Options Market and passes fees and potential credits to Evercore. The NASDAQ Options Market fee schedule can be accessed at: <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/Nasdaq%20Options%207>. DASH Financial at (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf). Evercore ISI routes to US Options Exchanges disclosed on the report through DASH Financial, an electronic options broker (consolidator). Evercore ISI routes held and not held orders to DASH Financial to be executed in various market centers chosen by DASH Financial. DASH Financial charges Evercore ISI rates from \$0.025 to \$0.25 per contract executed depending on the method of access and product, but Evercore ISI is generally charged \$0.05 per contract for low touch executions and \$0.15 per contract for high touch executions. In addition, Evercore ISI pays exchange, regulatory, market data and clearing fees related to executions through DASH Financial, and Evercore ISI is eligible to receive rebates based on its order volumes routed to DASH Financial. Evercore ISI receives reduced rates from the market centers based on DASH Financial arrangements and volumes DASH Financial has with the exchanges. Evercore is not a party to the payment arrangements between DASH Financial and the exchanges and Dash Financial might not pass exact charges and rebates to Evercore. Charges will include Commissions, Clearing and Exchange fees and rebates based on order routing,.. DASH Financial supplies executed venues which Evercore believes is representative of DASH Financial routing of our customer order flow. Details of these arrangements are made available via DASH Financial 'own disclosure (https://dashfinancial.com/wp-content/uploads/2022/10/DASH-Financial-Technologies-606-Report_2022_Q3.pdf).

December 2022

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
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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 2022

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 2022

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	14.27	48.16	37.57	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)
CBOE	42.93	47.09	30.39	53.15	0.00	516.0000	11.4765	2,773.0000	29.0449	1,365.0000	12.7564	0.0000	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)
ISE	21.11	11.83	20.36	31.88	0.00	289.0000	5.2063	1,121.0000	23.2767	396.0000	5.6660	0.0000	0.0000
PHLX	5.74	11.22	4.16	1.75	0.00	287.0000	11.6359	587.0000	46.3233	112.0000	13.0675	0.0000	0.0000
EDGX	4.60	7.28	5.27	0.95	0.00	-599.0000	-41.6014	169.0000	10.5358	-81.0000	-33.8500	0.0000	0.0000
ARCA	3.59	3.29	4.59	2.75	0.00	-168.0000	-31.0258	746.0000	48.0380	-243.0000	-18.6180	0.0000	0.0000
BX	3.53	1.22	7.37	1.50	0.00	30.0000	35.6047	1,053.0000	55.9008	274.0000	57.8418	0.0000	0.0000
AMEX	2.99	4.74	2.96	1.15	0.00	197.0000	25.3338	232.0000	33.9197	84.0000	22.2237	0.0000	0.0000
MIAX	2.96	6.20	1.71	0.95	0.00	-140.0000	-13.7231	61.0000	33.3098	-3.0000	-2.2388	0.0000	0.0000
BOX	2.65	2.86	3.77	1.10	0.00	-172.0000	-44.9086	-35.0000	-3.4200	-55.0000	-12.9108	0.0000	0.0000
MPRL	2.29	1.55	4.07	1.00	0.00	47.0000	51.1936	1,570.0000	60.5509	222.0000	58.0235	0.0000	0.0000

Material Aspects:

CBOE:

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ISE:

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PHLX:

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ARCA:

