

# WallachBeth Capital - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2023

January 2023

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## 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:

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January 2023

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## 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:

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January 2023

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## 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	1.02	48.11	50.87	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)
WALL	31.32	100.00	31.72	29.57	0.00	-1.0000	-0.0133	-30.0000	-0.0133	-31.0000	-0.0133	0.0000	0.0000
PTRPX	18.10	0.00	19.03	17.57	0.00	0.0000	0.0000	22.0000	0.0148	23.0000	0.0148	0.0000	0.0000
RSKY	17.59	0.00	15.71	19.71	0.00	0.0000	0.0000	-1.0000	-0.0176	-4.0000	-0.0176	0.0000	0.0000
CASY	14.10	0.00	14.20	14.29	0.00	0.0000	0.0000	27.0000	0.0198	28.0000	0.0198	0.0000	0.0000
PTR	6.98	0.00	6.65	7.43	0.00	0.0000	0.0000	6.0000	0.0148	7.0000	0.0148	0.0000	0.0000
WEXX	4.51	0.00	5.29	3.86	0.00	0.0000	0.0000	0.0000	0.0113	0.0000	0.0113	0.0000	0.0000
BCEX	3.63	0.00	4.83	2.57	0.00	0.0000	0.0000	2.0000	0.0706	9.0000	0.0706	0.0000	0.0000
CASEY	1.89	0.00	0.76	3.00	0.00	0.0000	0.0000	0.0000	0.0198	1.0000	0.0198	0.0000	0.0000
STR	1.89	0.00	1.81	2.00	0.00	0.0000	0.0000	3.0000	0.0571	3.0000	0.0571	0.0000	0.0000

## Material Aspects:

### WALL:

Trademas is an options broker. Trademas charges WallachBeth Capital \$0.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, Trademas will still charge WallachBeth Capital the \$0.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

### PTRPX:

WallachBeth Capital pays exchange, regulatory, market data and clearing fees to PTRPX and receives exchange rebates as credits where applicable WallachBeth Capital also receives incremental pricing benefits if certain volume thresholds are met

### RSKY:

Matrix is an electronic and floor options broker. WallachBeth Capital ISI routes held and not held orders to Matrix to be executed in various market centers chosen by Matrix. Matrix charges WallachBeth ISI rates from \$0.05 per contract executed depending on the method of access and product, but WallachBeth ISI is generally charged \$0.05 per contract for low touch executions. In addition, WallachBeth ISI pays exchange, regulatory, market data and clearing fees related to executions through Matrix, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to Matrix.

### CASY:

Casey Securities LLC (CASEY) is an options broker. CASY charges WallachBeth Capital \$0.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, CASY will still charge WallachBeth Capital the \$0.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

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### WEXX:

WEXX is an electronic options broker. WallachBeth Capital ISI routes held and not held orders to WEXX to be executed in various market centers chosen by WEXX. WEXX charges WallachBeth ISI rates from \$0.05 per contract executed depending on the method of access and product, but WallachBeth ISI is generally charged \$0.05 per contract for low touch executions. In addition, WallachBeth ISI pays exchange, regulatory, market data and clearing fees related to executions through WEXX, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to WEXX.

### BCEX:

BAML is an electronic options broker. WallachBeth Capital ISI routes held and not held orders to BAML to be executed in various market centers chosen by BAML. BAML charges WallachBeth ISI rates from \$0.05 per contract executed depending on the method of access and product, but WallachBeth ISI is generally charged \$0.05 per contract for low touch executions. In addition, WallachBeth ISI pays exchange, regulatory, market data and clearing fees related to executions through BAML, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to BAML.

### CASEY:

Casey Securities LLC (CASEY) is an options broker. CASY charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, CASY will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

STR:

SRT is an options broker through AMEX and the CBOE. SRT charges WallachBeth Capital \$.05 through AMEX and .15 on the CBOE for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$.025 and .075 respectively per contract. In instances where the initiated cross is not fully executed on both the buy and sell, SRT will still charge WallachBeth Capital the \$.05 or \$.15 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

## February 2023

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### 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)
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Material Aspects:

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## February 2023

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### 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)
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Material Aspects:

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## February 2023

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## 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	0.00	49.59	50.41	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)
WALL	21.95	0.00	22.91	21.02	0.00	0.0000	0.0000	-32.0000	-0.0133	-33.0000	-0.0133	0.0000	0.0000
CASEY	18.73	0.00	18.99	18.48	0.00	0.0000	0.0000	0.0000	0.0198	1.0000	0.0198	0.0000	0.0000
RSKY	18.22	0.00	18.27	18.17	0.00	0.0000	0.0000	-5.0000	-0.0176	-5.0000	-0.0176	0.0000	0.0000
PTRPX	15.25	0.00	15.79	14.72	0.00	0.0000	0.0000	18.0000	0.0148	18.0000	0.0148	0.0000	0.0000
CASY	10.29	0.00	9.91	10.66	0.00	0.0000	0.0000	19.0000	0.0198	19.0000	0.0198	0.0000	0.0000
BCEX	6.96	0.00	5.16	8.73	0.00	0.0000	0.0000	4.0000	0.0706	7.0000	0.0706	0.0000	0.0000
PTR	3.17	0.00	3.20	3.15	0.00	0.0000	0.0000	7.0000	0.0148	7.0000	0.0148	0.0000	0.0000
WEXX	2.87	0.00	3.20	2.54	0.00	0.0000	0.0000	0.0000	0.0113	0.0000	0.0113	0.0000	0.0000
STR	2.05	0.00	2.06	2.03	0.00	0.0000	0.0000	21.0000	0.0571	21.0000	0.0571	0.0000	0.0000
ZERO	0.31	0.00	0.31	0.30	0.00	0.0000	0.0000	1.0000	0.0500	1.0000	0.0500	0.0000	0.0000

### Material Aspects:

#### WALL:

Trademas is an options broker. Trademas charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, Trademas will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

#### CASEY:

Casey Securities LLC (CASEY) is an options broker. CASY charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, CASY will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

#### RSKY:

Matrix Executions: Matrix is an electronic and floor options broker. WallachBeth Capital ISI routes held and not held orders to Matrix to be executed in various market centers chosen by Matrix. Matrix charges WallachBeth ISI rates from \$0.05 per contract executed depending on the method of access and product, but WallachBeth ISI is generally charged \$0.05 per contract for low touch executions. In addition, WallachBeth ISI pays exchange, regulatory, market data and clearing fees related to executions through Matrix, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to Matrix.

#### PTRPX:

WallachBeth Capital pays exchange, regulatory, market data and clearing fees to PTRPX and receives exchange rebates as credits where applicable WallachBeth Capital also receives incremental pricing benefits if certain volume thresholds are met

#### CASY:

Casey Securities LLC (CASEY) is an options broker. CASY charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, CASY will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

#### BCEX:

BAML is an electronic options broker. WallachBeth Capital ISI routes held and not held orders to BAML to be executed in various market centers chosen by BAML. BAML charges WallachBeth ISI rates from \$0.05 per contract executed depending on the method of access and product, but WallachBeth ISI is generally charged \$0.05 per contract for low touch executions. In addition, WallachBeth ISI pays exchange, regulatory, market data and clearing fees related to executions through BAML, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to BAML.

#### PTR:

PTR is an options broker. PTR charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, PTR will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

#### WEXX:

WEXX, is an electronic options broker. WallachBeth Capital ISI routes held and not held orders to WEXX to be executed in various market centers chosen by WEXX. WEXX charges WallachBeth ISI rates from \$0.05 per contract executed depending on the method of access and product, but WallachBeth ISI is generally charged \$0.05 per contract for low touch executions. In addition, WallachBeth ISI pays exchange, regulatory, market data and clearing fees related to executions through WEXX, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to WEXX.

STR:

SRT is an options broker through AMEX and the CBOE. SRT charges WallachBeth Capital \$.05 through AMEX and .15 on the CBOE for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 and .075 respectively per contract. In instances where the initiated cross is not fully executed on both the buy and sell, SRT will still charge WallachBeth Capital the \$.05 or \$.15 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

ZERO:

ZERO is an options broker. ZERO charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, ZERO will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

## March 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
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:

## March 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
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:

## March 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	0.88	52.59	46.53	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)
WALL	31.66	80.00	29.10	33.65	0.00	-5.0000	-0.0133	-28.0000	-0.0133	-28.0000	-0.0133	0.0000	0.0000
PTRPX	23.48	10.00	22.58	24.76	0.00	0.0000	0.0148	17.0000	0.0148	17.0000	0.0148	0.0000	0.0000
RSKY	14.42	10.00	23.08	4.73	0.00	0.0000	-0.0176	-1.0000	-0.0176	-1.0000	-0.0176	0.0000	0.0000
CASEY	10.20	0.00	5.02	16.26	0.00	0.0000	0.0000	2.0000	0.0198	1.0000	0.0198	0.0000	0.0000
CASY	5.72	0.00	5.69	5.86	0.00	0.0000	0.0000	7.0000	0.0198	7.0000	0.0198	0.0000	0.0000
BCEX	5.36	0.00	5.52	5.29	0.00	0.0000	0.0000	4.0000	0.0706	8.0000	0.0706	0.0000	0.0000
WEXX	3.78	0.00	3.85	3.78	0.00	0.0000	0.0000	0.0000	0.0113	0.0000	0.0113	0.0000	0.0000
STR	3.43	0.00	3.34	3.59	0.00	0.0000	0.0000	13.0000	0.0571	12.0000	0.0571	0.0000	0.0000
PTR	1.58	0.00	1.51	1.70	0.00	0.0000	0.0000	2.0000	0.0148	2.0000	0.0148	0.0000	0.0000
DND	0.35	0.00	0.33	0.38	0.00	0.0000	0.0000	0.0000	0.0208	0.0000	0.0208	0.0000	0.0000

### Material Aspects:

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SRT is an options broker through AMEX and the CBOE. SRT charges WallachBeth Capital \$.05 through AMEX and .15 on the CBOE for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 and .075 respectively per contract. In instances where the initiated cross is not fully executed on both the buy and sell, SRT will still charge WallachBeth Capital the \$.05 or \$.15 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

PTR:

PTR is an options broker. PTR charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, PTR will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.

DND:

DND is an options broker. DND charges WallachBeth Capital \$.05 for initiated crosses. Initiated crosses include both a buy and sell, generally resulting in an average charge of \$0.025 per contract. In instances where the initiated cross is not fully executed on both the buy and sell, DND will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, has no payment for order flow arrangements with this venue, and does not receive rebates for providing liquidity, and does not have any arrangements other than those stated above.