

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

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2nd Quarter, 2023

April 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
0.0000	0.0000	0.0000	0.0000	0.0000

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)

April 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
0.0000	0.0000	0.0000	0.0000	0.0000

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)

April 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
100.0000	0.0000	59.1362	40.8638	0.0000

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)
RSKY	29.1457	0.0000	37.8238	20.9756	0.0000	0.0000	0.0000	101.3238	3.5280	87.8936	3.5570	0.0000	0.0000
DFIN	17.8392	0.0000	6.7358	28.2927	0.0000	0.0000	0.0000	103.1778	1.6167	52.8768	1.5917	0.0000	0.0000
WALL	16.3317	0.0000	17.0984	15.6098	0.0000	0.0000	0.0000	-439.8972	-1.6380	-272.1252	-1.6368	0.0000	0.0000
WEXX	14.5729	0.0000	15.0259	14.1463	0.0000	0.0000	0.0000	-79.8600	-1.6402	-39.2700	-1.6301	0.0000	0.0000
BCEX	6.2814	0.0000	3.6269	8.7805	0.0000	0.0000	0.0000	69.9565	8.9688	186.2490	8.9715	0.0000	0.0000
CASY	6.2814	0.0000	9.3264	3.4146	0.0000	0.0000	0.0000	567.1450	1.5492	140.1200	1.5488	0.0000	0.0000
PTRPX	6.0302	0.0000	6.2176	5.8537	0.0000	0.0000	0.0000	49.4500	1.1468	47.1500	1.1466	0.0000	0.0000
LKSK	2.2613	0.0000	2.5907	1.9512	0.0000	0.0000	0.0000	190.9200	12.8566	61.9200	12.7934	0.0000	0.0000
DND	1.0050	0.0000	1.0363	0.9756	0.0000	0.0000	0.0000	23.0000	2.2954	23.0000	2.2954	0.0000	0.0000
IAEC	0.2513	0.0000	0.5181	0.0000	0.0000	0.0000	0.0000	7.9000	3.1474	0.0000	0.0000	0.0000	0.0000

Material Aspects:

RSKY:

Matrix is an electronic and floor options broker. WallachBeth Capital ISI routes are not held 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.

DFIN:

Dash Financial Technologies LLC (DFIN), is an electronic options broker. WallachBeth Capital ISI routes are not held orders to DFIN to be executed in various market centers chosen by DFIN. DFIN 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 DFIN, and WallachBeth ISI is eligible to receive rebates based on its order volumes routed to DFIN.

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.

WEXX:

WEXX, is an electronic options broker. WallachBeth Capital ISI routes are 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.

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.

PTRPX:
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. Additionally, in the case of Qualified Contingency Crosses, WallachBeth Capital are eligible to receive a portion of the pass-through rebates from the exchange to the floor broker.

LKSK:
LKSK is an options broker. LKSK charges WallachBeth Capital \$.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, LKSK will still charge WallachBeth Capital the \$.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.

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.

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

May 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
0.0000	0.0000	0.0000	0.0000	0.0000

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)

May 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
0.0000	0.0000	0.0000	0.0000	0.0000

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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May 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
100.0000	1.1811	62.9921	35.8268	0.0000

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)
RSKY	33.0523	16.6667	30.0595	37.4502	0.0000	0.0362	1.8100	85.8302	3.4721	305.2022	3.5801	0.0000	0.0000
WALL	26.9814	50.0000	25.0000	29.0837	0.0000	-13.1200	-1.6339	-559.6172	-1.6360	-701.0508	-1.6372	0.0000	0.0000
DFIN	16.3575	0.0000	20.2381	11.5538	0.0000	0.0000	0.0000	235.6452	1.6125	101.9952	1.6126	0.0000	0.0000
WEXX	8.2631	0.0000	11.9048	3.5857	0.0000	0.0000	0.0000	-106.3920	-1.6398	-53.6085	-1.6454	0.0000	0.0000
PTRPX	5.7336	0.0000	4.1667	7.9681	0.0000	0.0000	0.0000	35.1325	1.1448	86.1810	1.1469	0.0000	0.0000
BCEX	5.3963	33.3333	4.7619	5.5777	0.0000	13.5750	8.9309	196.6565	8.9839	222.9920	8.9989	0.0000	0.0000
CASY	2.3609	0.0000	2.0833	2.7888	0.0000	0.0000	0.0000	89.0785	1.5481	89.2335	1.5481	0.0000	0.0000
DND	1.0118	0.0000	0.8929	1.1952	0.0000	0.0000	0.0000	27.6000	2.2943	27.6000	2.2943	0.0000	0.0000
LKSK	0.5059	0.0000	0.5952	0.3984	0.0000	0.0000	0.0000	51.6000	12.8358	19.3500	12.8146	0.0000	0.0000
IAEC	0.3373	0.0000	0.2976	0.3984	0.0000	0.0000	0.0000	8.8164	3.1487	8.8164	3.1487	0.0000	0.0000

Material Aspects:

RSKY:

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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.

DFIN:

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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.

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.

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

June 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
0.0000	0.0000	0.0000	0.0000	0.0000

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)

June 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
0.0000	0.0000	0.0000	0.0000	0.0000

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)

June 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
100.0000	0.3555	40.0474	59.5972	0.0000

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)
RSKY	49.5353	66.6667	33.8462	58.4187	0.0000	0.5068	3.1675	154.8636	3.5116	345.1670	3.4746	0.0000	0.0000
DFIN	18.7732	0.0000	21.0256	17.5695	0.0000	0.0000	0.0000	617.0094	1.6165	311.6394	1.6100	0.0000	0.0000
WALL	11.4312	33.3333	17.1795	8.0527	0.0000	-16.4000	-1.6384	-350.0088	-1.6349	-336.8724	-1.6356	0.0000	0.0000
BCEX	5.2974	0.0000	4.6154	5.7101	0.0000	0.0000	0.0000	374.2175	9.0108	147.4245	8.8384	0.0000	0.0000
WEXX	4.8327	0.0000	6.9231	3.6603	0.0000	0.0000	0.0000	-29.4855	-1.6254	-43.4775	-1.6345	0.0000	0.0000
PTRPX	4.8327	0.0000	8.2051	2.9283	0.0000	0.0000	0.0000	86.1350	1.1451	58.6155	1.1455	0.0000	0.0000
CASY	3.9963	0.0000	6.1538	2.7818	0.0000	0.0000	0.0000	134.4315	1.5457	142.4760	1.5468	0.0000	0.0000
XFAB	0.5576	0.0000	0.7692	0.4392	0.0000	0.0000	0.0000	2.5002	11.9057	2.5002	11.9057	0.0000	0.0000
IAEC	0.3717	0.0000	0.7692	0.1464	0.0000	0.0000	0.0000	120.0800	3.1575	79.0000	3.1587	0.0000	0.0000
LKSK	0.3717	0.0000	0.5128	0.2928	0.0000	0.0000	0.0000	17.4150	12.7117	23.2200	12.7582	0.0000	0.0000

Material Aspects:

RSKY:

Matrix is an electronic and floor options broker. WallachBeth Capital ISI routes are not held 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.

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WALL:

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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.

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PTRPX:

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. Additionally, in the case of Qualified Contingency Crosses, WallachBeth Capital are eligible to receive a portion of the pass-through rebates from the exchange to the floor broker.

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.

XFAB:

XFA is an options broker. XFA charges WallachBeth Capital \$.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, XFA will still charge WallachBeth Capital the \$.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.

IAEC:

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

LKSK:

LKSK is an options broker. LKSK charges WallachBeth Capital \$.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, LKSK will still charge WallachBeth Capital the \$.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.