

WallachBeth Capital 606 - Held NMS Stocks and Options Order Routing Public Report

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1st Quarter, 2024

January 2024

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)

Material Aspects:

January 2024

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)

Material Aspects:

January 2024

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	30.8370	32.4890	36.6740	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)
MATRIX	25.2715	2.8571	37.2671	31.1436	0.0000	298.7970	2,189.0000	980.3720	7,276.0000	946.2590	7,035.0000	0.0000	0.0000
BCEX	20.2369	41.4286	10.2484	13.6253	0.0000	-227.9760	2,531.0000	-442.0752	4,716.0000	-320.7712	3,454.0000	0.0000	0.0000
WEXX	16.2883	53.5714	2.7950	1.4599	0.0000	529.1405	2,221.0000	51.1000	209.0000	31.1710	128.0000	0.0000	0.0000
DFIN	14.3139	0.0000	20.8075	18.9781	0.0000	0.0000	0.0000	12,906.5039	27,645.0000	7,790.7959	16,725.0000	0.0000	0.0000
DND	11.1550	0.0000	11.1801	18.7348	0.0000	0.0000	0.0000	-153.7718	6,994.0000	-390.1976	17,733.0000	0.0000	0.0000
IAEC	3.7512	0.0000	6.5217	4.1363	0.0000	0.0000	0.0000	601.2340	1,175.0000	374.0780	735.0000	0.0000	0.0000
PTRPX	3.6525	0.3571	5.9006	4.1363	0.0000	34.2000	3,001.0000	92.1120	8,099.0000	67.6020	5,947.0000	0.0000	0.0000
ZERO	2.7641	1.7857	0.9317	4.8662	0.0000	-6.5408	229.0000	-20.4984	705.0000	-162.2644	5,577.0000	0.0000	0.0000
CASY	1.6782	0.0000	2.1739	2.4331	0.0000	0.0000	0.0000	6.8376	3,115.0000	7.1016	3,238.0000	0.0000	0.0000
PTR	0.4936	0.0000	1.5528	0.0000	0.0000	0.0000	0.0000	17.6700	1,555.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

MATRIX:

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.

BCEX:

BCEX: BCEX is an electronic options broker. WallachBeth Capital ISI routes are 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.

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.

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.

DND:

DND: DND is an options broker. DND 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, DND 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

IAEC:

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

PTRPX:

PTRPX: PTR is an options broker. PTR 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, PTR 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. 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.

ZERO:

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CASY:

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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February 2024

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)

Material Aspects:

February 2024

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

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Material Aspects:

February 2024

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	38.0165	28.2172	33.7662	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)
MATRIX	31.9459	0.0000	43.0769	51.4512	0.0000	0.0000	0.0000	1,225.6019	9,058.0000	2,627.2490	19,372.0000	0.0000	0.0000
BCEX	28.5120	64.5963	10.0000	10.5541	0.0000	-536.8528	5,895.0000	-244.2128	2,613.0000	-527.6016	5,629.0000	0.0000	0.0000
WEXX	12.7992	25.4658	8.4615	5.0132	0.0000	258.3105	1,093.0000	553.9240	2,190.0000	330.1060	1,311.0000	0.0000	0.0000
DFIN	10.1977	0.0000	15.7692	15.0396	0.0000	0.0000	0.0000	4,194.6841	9,004.0000	9,898.6680	21,208.0000	0.0000	0.0000
DND	5.3070	0.0000	8.4615	7.6517	0.0000	0.0000	0.0000	-170.8993	7,755.0000	-115.0084	5,233.0000	0.0000	0.0000
ZERO	4.5786	9.9379	1.9231	1.8470	0.0000	-35.7116	1,255.0000	-96.3600	3,305.0000	-100.6232	3,453.0000	0.0000	0.0000
PTRPX	4.3704	0.0000	8.0769	5.5409	0.0000	0.0000	0.0000	50.6046	4,460.0000	155.7696	13,685.0000	0.0000	0.0000
IAEC	1.0406	0.0000	1.1538	1.8470	0.0000	0.0000	0.0000	117.2250	228.0000	158.9050	312.0000	0.0000	0.0000
CASY	0.8325	0.0000	2.3077	0.5277	0.0000	0.0000	0.0000	5.9290	2,701.0000	3.9600	1,802.0000	0.0000	0.0000
XFAB	0.2081	0.0000	0.3846	0.2639	0.0000	0.0000	0.0000	20.0000	101.0000	20.0000	101.0000	0.0000	0.0000

Material Aspects:

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DFIN:

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DND:

DND is an options broker. DND 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, DND 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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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.

IAEC:
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

CASY:
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XFAB:
XFA: 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.

March 2024

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)

Material Aspects:

March 2024

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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Material Aspects:

March 2024

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	20.6811	49.0033	30.3156	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)
MATRIX	59.1346	0.0000	75.7225	65.4369	0.0000	0.0000	0.0000	5,804.6899	42,894.0000	3,900.1160	28,805.0000	0.0000	0.0000
BCEX	20.2610	87.1486	6.7919	6.0194	0.0000	-503.7184	5,553.0000	-627.3824	6,693.0000	-212.0224	2,277.0000	0.0000	0.0000
DFIN	7.8297	0.4016	7.3699	12.0388	0.0000	18.2520	40.0000	11,382.2275	24,372.0000	5,233.1758	11,244.0000	0.0000	0.0000
DND	4.1209	0.0000	3.0347	7.5728	0.0000	0.0000	0.0000	-326.7706	14,807.0000	-159.4073	7,252.0000	0.0000	0.0000
WEXX	3.4341	12.0482	1.4451	1.9417	0.0000	93.0020	394.0000	1,069.5229	4,196.0000	62.3420	254.0000	0.0000	0.0000
ZERO	2.6786	0.0000	2.4566	4.2718	0.0000	0.0000	0.0000	-459.8124	15,764.0000	-358.5468	12,301.0000	0.0000	0.0000
PTRPX	2.2665	0.4016	2.8902	2.3301	0.0000	11.4000	1,001.0000	110.3178	9,697.0000	55.9512	4,920.0000	0.0000	0.0000
TRADEMAS	0.1374	0.0000	0.1445	0.1942	0.0000	0.0000	0.0000	2.1625	126.0000	2.1625	126.0000	0.0000	0.0000
PTR	0.1374	0.0000	0.1445	0.1942	0.0000	0.0000	0.0000	0.3648	33.0000	0.4218	38.0000	0.0000	0.0000

Material Aspects:

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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.

ZERO:

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. 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.

PTRPX:

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.

TRADEMAS:

Trademas: 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.

PTR:

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. 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.