

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

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2nd Quarter, 2024

April 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
0.00	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)

April 2024

Non-S&P 500 Stocks

Summary

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0.00	0.00	0.00	0.00	0.00

Venues

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April 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
100.00	24.18	45.02	30.80	0.00

Venues

Venue - Non-directed Order Flow	Non-Directed Orders (%)	Market Orders (%)	Marketable Limit Orders (%)	Non-Marketable Limit Orders (%)	Other Orders (%)	Net Payment Paid/Received for Market Orders(USD)	Net Payment Paid/Received for Market Orders(cents per hundred shares)	Net Payment Paid/Received for Marketable Limit Orders(USD)	Net Payment Paid/Received for Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Non-Marketable Limit Orders(USD)	Net Payment Paid/Received for Non-Marketable Limit Orders(cents per hundred shares)	Net Payment Paid/Received for Other Orders(USD)	Net Payment Paid/Received for Other Orders(cents per hundred shares)
MATRIX	39.67	0.00	41.47	63.33	0.00	0.0000	0.0000	814.0000	3.0979	481.0000	3.0731	0.0000	0.0000
BCEX	38.53	96.64	30.41	11.78	0.00	-611.0000	-4.9040	-610.0000	-4.9395	-220.0000	-4.9602	0.0000	0.0000
DFIN	11.72	0.00	17.67	10.89	0.00	0.0000	0.0000	394.0000	2.6986	243.0000	2.7052	0.0000	0.0000
DND	6.93	0.00	7.22	11.11	0.00	0.0000	0.0000	-607.0000	-4.1665	-743.0000	-4.1683	0.0000	0.0000
PTRPX	1.50	0.00	1.69	2.22	0.00	0.0000	0.0000	93.0000	2.4926	111.0000	2.4944	0.0000	0.0000
ZERO	1.14	3.36	0.77	0.22	0.00	-220.0000	-0.9995	-42.0000	-0.9988	-3.0000	-0.9972	0.0000	0.0000
LKSK	0.29	0.00	0.31	0.44	0.00	0.0000	0.0000	29.0000	13.8778	29.0000	13.8778	0.0000	0.0000
CASY	0.21	0.00	0.46	0.00	0.00	0.0000	0.0000	-2.0000	-0.9852	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:

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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 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.

PTRPX:

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ZERO:

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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.

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May 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
0.00	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)

May 2024

Non-S&P 500 Stocks

Summary

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0.00	0.00	0.00	0.00	0.00

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May 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
100.00	18.63	49.34	32.03	0.00

Venues

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MATRIX	51.53	0.30	62.15	59.87	0.00	6.0000	2.0867	1,188.0000	3.0812	962.0000	3.0826	0.0000	0.0000
BCEX	29.48	95.14	22.03	11.27	0.00	-750.0000	-4.9170	-1,071.0000	-4.9704	-543.0000	-4.9791	0.0000	0.0000
DFIN	8.87	0.00	6.41	15.57	0.00	0.0000	0.0000	342.0000	2.7067	485.0000	2.7014	0.0000	0.0000
DND	5.85	0.00	5.17	9.11	0.00	0.0000	0.0000	-1,531.0000	-4.1743	-1,299.0000	-4.1703	0.0000	0.0000
PTRPX	2.35	0.00	2.48	3.16	0.00	0.0000	0.0000	296.0000	2.4950	235.0000	2.4934	0.0000	0.0000
ZERO	1.49	4.56	1.14	0.63	0.00	-53.0000	-0.9972	-127.0000	-0.9991	-43.0000	-0.9989	0.0000	0.0000
CASY	0.19	0.00	0.10	0.38	0.00	0.0000	0.0000	-100.0000	-0.9999	-199.0000	-0.9998	0.0000	0.0000
LKSK	0.10	0.00	0.21	0.00	0.00	0.0000	0.0000	84.0000	13.9635	0.0000	0.0000	0.0000	0.0000
WALL	0.10	0.00	0.21	0.00	0.00	0.0000	0.0000	16.0000	1.7264	0.0000	0.0000	0.0000	0.0000
IAEC	0.05	0.00	0.10	0.00	0.00	0.0000	0.0000	2.0000	2.8911	0.0000	0.0000	0.0000	0.0000

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CASY:

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WALL:

WallachBeth Capital 606 pays exchange, regulatory, market data and clearing fees to WALL and receives exchange rebates as credits where applicable WallachBeth Capital 606 also receives incremental pricing benefits if certain volume thresholds are met

IAEC:

WallachBeth Capital 606 pays exchange, regulatory, market data and clearing fees to IAEC and receives exchange rebates as credits where applicable WallachBeth Capital 606 also receives incremental pricing benefits if certain volume thresholds are met

June 2024

S&P 500 Stocks

Summary

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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)

June 2024

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June 2024

Options

Summary

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100.00	30.23	36.11	33.66	0.00

Venues

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MATRIX	47.75	0.00	54.90	73.50	0.00	0.0000	0.0000	1,179.0000	3.1001	1,372.0000	3.0921	0.0000	0.0000
BCEX	40.82	99.19	31.22	10.11	0.00	-817.0000	-4.8734	-1,107.0000	-4.9734	-243.0000	-4.9445	0.0000	0.0000
DND	4.55	0.20	4.07	7.92	0.00	-33.0000	-4.1748	-1,129.0000	-4.1758	-1,245.0000	-4.1719	0.0000	0.0000
DFIN	4.39	0.20	7.39	4.51	0.00	2.0000	2.6872	1,238.0000	2.7171	501.0000	2.7151	0.0000	0.0000
ZERO	1.16	0.00	1.66	1.50	0.00	0.0000	0.0000	-26.0000	-0.9959	-24.0000	-0.9955	0.0000	0.0000
PTRPX	0.58	0.20	0.30	1.09	0.00	6.0000	2.4900	12.0000	2.4900	71.0000	2.4930	0.0000	0.0000
CASY	0.53	0.20	0.15	1.09	0.00	-6.0000	-0.9984	-7.0000	-0.9986	-23.0000	-0.9966	0.0000	0.0000
TJMW	0.11	0.00	0.15	0.14	0.00	0.0000	0.0000	29.0000	14.8259	14.0000	14.7525	0.0000	0.0000
WEXX	0.11	0.00	0.15	0.14	0.00	0.0000	0.0000	-94.0000	-18.7625	0.0000	-15.6667	0.0000	0.0000

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