

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

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4th Quarter, 2024

October 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)

October 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
0.00	0.00	0.00	0.00	0.00

Venues

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October 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	26.78	33.27	39.95	0.00

Venues

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RSKY	58.98	8.64	73.87	75.81	0.00	194.0000	2.4795	1,125.0000	2.4619	1,895.0000	2.4622	0.0000	0.0000
BCEX	26.78	90.42	10.61	3.86	0.00	-2,118.0000	-11.3821	-1,074.0000	-11.7359	-696.0000	-11.7478	0.0000	0.0000
DFIN	9.74	0.00	9.92	14.66	0.00	0.0000	0.0000	395.0000	2.0363	390.0000	2.0211	0.0000	0.0000
DND	2.75	0.00	3.05	3.98	0.00	0.0000	0.0000	-407.0000	-3.6856	-1,009.0000	-3.6871	0.0000	0.0000
ZERO	0.68	0.23	0.98	0.72	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WEXX	0.54	0.70	0.69	0.36	0.00	-165.0000	-13.0123	-389.0000	-13.0434	-24.0000	-12.6697	0.0000	0.0000
PTRPX	0.54	0.00	0.88	0.60	0.00	0.0000	0.0000	53.0000	3.1689	105.0000	3.1764	0.0000	0.0000

Material Aspects:

RSKY:

RSKY is an options broker. RSKY 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, RSKY will still charge WallachBeth Capital the \$.05 on the larger trade, resulting in potentially higher per contract charges. WallachBeth Capital pays no connectivity fees, WallachBeth ISI is eligible to receive rebates based on its order volumes routed to RSKY

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.

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.

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ZERO:

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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.

PTRPX:

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November 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)

November 2024

Non-S&P 500 Stocks

Summary

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November 2024

Options

Summary

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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
100.00	30.84	33.83	35.33	0.00

Venues

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RSKY	50.61	6.52	63.14	73.88	0.00	57.0000	2.4560	882.0000	2.4713	910.0000	2.4586	0.0000	0.0000
BCEX	33.16	92.74	11.96	5.16	0.00	-1,754.0000	-11.3933	-1,021.0000	-11.7585	-546.0000	-11.7585	0.0000	0.0000
DFIN	9.97	0.00	14.33	14.01	0.00	0.0000	0.0000	354.0000	2.0348	490.0000	2.0363	0.0000	0.0000
DND	3.32	0.00	4.31	5.04	0.00	0.0000	0.0000	-656.0000	-3.6896	-962.0000	-3.6896	0.0000	0.0000
ZERO	1.22	0.30	2.23	1.12	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
WEXX	0.79	0.15	1.95	0.34	0.00	-62.0000	-13.0465	-322.0000	-13.0002	-62.0000	-12.9923	0.0000	0.0000
CASY	0.48	0.30	0.83	0.34	0.00	-12.0000	-0.0610	-3.0000	-0.0609	0.0000	-0.0609	0.0000	0.0000
PTRPX	0.44	0.00	1.25	0.11	0.00	0.0000	0.0000	164.0000	3.1804	36.0000	3.1832	0.0000	0.0000

Material Aspects:

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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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December 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)

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December 2024

Options

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100.00	52.95	22.24	24.81	0.00

Venues

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BCEX	55.51	94.93	16.78	8.53	0.00	-3,153.0000	-11.4400	-1,179.0000	-11.7846	-354.0000	-11.7034	0.0000	0.0000
RSKY	39.34	4.32	73.64	81.20	0.00	85.0000	2.4698	617.0000	2.4693	743.0000	2.4683	0.0000	0.0000
DND	2.06	0.38	3.49	4.26	0.00	-36.0000	-3.6811	-164.0000	-3.6827	-164.0000	-3.6778	0.0000	0.0000
DFIN	1.22	0.00	3.05	2.13	0.00	0.0000	0.0000	74.0000	2.0390	106.0000	2.0426	0.0000	0.0000
ZERO	0.54	0.19	1.09	0.78	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CASY	0.54	0.19	0.87	0.97	0.00	-3.0000	-0.0610	0.0000	-0.0608	-3.0000	-0.0609	0.0000	0.0000
PTRPX	0.49	0.00	0.65	1.36	0.00	0.0000	0.0000	22.0000	3.1725	124.0000	3.1803	0.0000	0.0000
WEXX	0.15	0.00	0.00	0.58	0.00	0.0000	0.0000	0.0000	0.0000	-258.0000	-13.0542	0.0000	0.0000
XFAB	0.15	0.00	0.44	0.19	0.00	0.0000	0.0000	3.0000	14.3984	0.0000	7.9570	0.0000	0.0000

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CASY:

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