

Capis Trading - Held NMS Stocks and Options Order Routing Public Report

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4th Quarter, 2023

October 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)

October 2023

Non-S&P 500 Stocks

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October 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	0.00	0.00	0.00	100.00

Venues

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Wall Street Access (WABR)	69.75	0.00	0.00	0.00	69.75	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-2,297.2500	-0.0900
Bofa Securities, Inc. (MLCO)	30.25	0.00	0.00	0.00	30.25	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-2,261.0300	-1.3371

Material Aspects:

Wall Street Access (WABR):

CAPIS does not accept payment for order flow from market makers. However, CAPIS may receive pass-through rebates from certain exchanges for adding liquidity. These rebates may offset charges for removing liquidity and may exceed the amount of fees charged.

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November 2023

S&P 500 Stocks

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November 2023

Non-S&P 500 Stocks

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November 2023

Options

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Bofa Securities, Inc. (MLCO)	53.56	0.00	0.00	0.00	53.56	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	133.9500	0.0276
Wall Street Access (WABR)	46.44	0.00	0.00	0.00	46.44	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	472.9700	0.0515

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December 2023

S&P 500 Stocks

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December 2023

Non-S&P 500 Stocks

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December 2023

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Bofa Securities, Inc. (MLCO)	83.54	0.00	0.00	0.00	83.54	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-15.4800	-0.0009
Wall Street Access (WABR)	16.46	0.00	0.00	0.00	16.46	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	-350.0300	-0.0850

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