

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

Generated on Wed Jan 31 2024 11:55:30 GMT-0500 (Eastern Standard Time)

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
0.0000	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:

October 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)

Material Aspects:

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
100.0000	4.9062	41.8470	53.2468	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	38.3938	0.0000	33.4184	45.1346	0.0000	0.0000	0.0000	-77.4936	-2.6917	-206.1702	-2.7383	0.0000	0.0000
DFIN	28.8229	2.9412	35.7143	25.0518	0.0000	-10.6350	-7.0430	-2,332.3972	-7.0600	-642.9921	-6.9966	0.0000	0.0000
WEXX	7.7008	85.2941	6.1224	3.5197	0.0000	-2.0967	-0.7766	-43.1955	-0.8658	-23.3073	-0.8645	0.0000	0.0000
PTRPX	7.0407	0.0000	7.6531	7.0393	0.0000	0.0000	0.0000	22.8988	0.2293	30.1760	0.2294	0.0000	0.0000
DND	6.3806	5.8824	5.6122	7.0393	0.0000	-11.5200	-0.7191	-79.6680	-0.7186	-82.7064	-0.7179	0.0000	0.0000
BCEX	6.3806	0.0000	7.6531	5.7971	0.0000	0.0000	0.0000	337.2460	4.5317	134.5890	4.5073	0.0000	0.0000
ZERO	2.7503	5.8824	2.0408	3.1056	0.0000	151.5000	3.0288	337.8450	3.0278	136.5621	3.0199	0.0000	0.0000
CASY	1.1001	0.0000	0.2551	1.8634	0.0000	0.0000	0.0000	29.7500	0.8498	35.4280	0.8482	0.0000	0.0000
Trademas	0.8801	0.0000	0.7653	1.0352	0.0000	0.0000	0.0000	74.2343	1.7288	105.8414	1.7286	0.0000	0.0000
LKSK	0.5501	0.0000	0.7653	0.4141	0.0000	0.0000	0.0000	-56.3220	-13.3149	-12.0690	-13.1185	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.

DFIN:

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PTRPX:

PTR: 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.

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ZERO:

Material Aspects:

November 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	4.3145	58.9645	36.7210	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	47.6977	13.3333	48.1293	50.1930	0.0000	-47.3478	-2.8100	-324.5256	-2.7523	-448.6338	-2.7747	0.0000	0.0000
DFIN	19.9826	0.0000	28.5714	11.9691	0.0000	0.0000	0.0000	-3,239.8464	-7.0640	-934.5329	-7.0568	0.0000	0.0000
BCEX	12.5109	26.6667	8.3333	16.0232	0.0000	2.3205	3.6833	287.6965	4.5150	154.6090	4.4415	0.0000	0.0000
WEXX	5.9948	51.1111	3.7415	4.6332	0.0000	-0.7482	-0.6864	-4.2543	-0.8325	-4.1847	-0.8287	0.0000	0.0000
PTRPX	5.9948	0.0000	4.7619	7.9151	0.0000	0.0000	0.0000	27.8760	0.2295	27.9105	0.2292	0.0000	0.0000
DND	4.3440	0.0000	4.0816	5.0193	0.0000	0.0000	0.0000	-42.5376	-0.7171	-41.5656	-0.7168	0.0000	0.0000
ZERO	1.6507	8.8889	0.6803	2.1236	0.0000	164.2563	3.0278	65.1450	3.0244	139.3800	3.0228	0.0000	0.0000
Trademas	0.7819	0.0000	0.3401	1.3514	0.0000	0.0000	0.0000	69.2000	1.7291	104.6650	1.7280	0.0000	0.0000
LKSK	0.6950	0.0000	0.6803	0.7722	0.0000	0.0000	0.0000	-118.0080	-13.3493	-118.0080	-13.3493	0.0000	0.0000
CASY	0.3475	0.0000	0.6803	0.0000	0.0000	0.0000	0.0000	15.3000	0.8481	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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PTRPX:

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LKSK:

Lakeshore: 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.

CASY:

CASEY: 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.

December 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)

Material Aspects:

December 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

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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:

December 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	17.0000	38.8750	44.1250	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	37.7702	1.4706	51.3932	39.0476	0.0000	-0.7050	-2.6111	-247.2576	-2.7676	-288.3732	-2.7755	0.0000	0.0000
BCEX	29.6928	97.0588	12.6935	20.9524	0.0000	101.9655	4.2969	293.0655	4.5212	267.2670	4.4828	0.0000	0.0000
DFIN	11.6041	0.0000	14.8607	12.8571	0.0000	0.0000	0.0000	-1,984.0656	-7.0779	-1,238.1267	-7.0681	0.0000	0.0000
DND	9.1013	0.0000	4.3344	15.7143	0.0000	0.0000	0.0000	-20.9304	-0.7165	-131.3424	-0.7174	0.0000	0.0000
PTRPX	4.8919	0.0000	5.8824	5.7143	0.0000	0.0000	0.0000	16.8222	0.2294	28.1313	0.2295	0.0000	0.0000
ZERO	2.9579	0.0000	4.9536	2.3810	0.0000	0.0000	0.0000	292.8495	3.0250	340.0569	3.0273	0.0000	0.0000
WEXX	2.6166	1.4706	4.6440	1.4286	0.0000	-0.7047	-0.8490	-12.5280	-0.8610	-2.3577	-0.8512	0.0000	0.0000
CASY	1.1377	0.0000	0.9288	1.6667	0.0000	0.0000	0.0000	38.2500	0.8494	63.3250	0.8492	0.0000	0.0000
LKSK	0.2275	0.0000	0.3096	0.2381	0.0000	0.0000	0.0000	-40.2300	-13.3654	-16.0920	-13.2992	0.0000	0.0000

Material Aspects:

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