

Guggenheim Securities, LLC - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2025

July 2025

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
-	-	-	-	-

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)

July 2025

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
-	-	-	-	-

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)

July 2025

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	0.21	0.74	99.05

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)
NYSE ARCA OPTIONS	39.92	0.00	0.00	0.00	40.30	0.00	0.0000	0.00	0.0000	0.00	0.0000	-659.58	-19.7302
Nasdaq ISE, LLC	19.33	0.00	0.00	0.00	19.51	0.00	0.0000	-287.36	-44.3457	310.08	96.0000	558.29	4.8416
MEMX LLC	11.03	0.00	0.00	0.00	11.13	0.00	0.0000	-2,913.96	-75.0827	279.11	56.8452	-1,623.86	-74.1489
Cboe C2 Exchange, Inc.	7.11	0.00	0.00	0.00	7.18	0.00	0.0000	-2,294.84	-51.4654	137.83	39.8353	587.49	7.0023
Cboe Exchange, Inc.	5.22	0.00	33.33	0.00	5.20	0.00	0.0000	-67.67	-24.2536	-53.22	-8.9295	-1,283.43	-18.0764
The NASDAQ Options Market LLC	3.50	0.00	0.00	0.00	3.53	0.00	0.0000	0.00	0.0000	0.00	0.0000	-2,363.90	-50.2316
NYSE American LLC	3.01	0.00	0.00	0.00	3.04	0.00	0.0000	-51.86	-13.9409	-2.32	-4.0000	-44.99	-0.5105
Cboe EDGX Exchange, Inc.	2.94	0.00	0.00	0.00	2.97	0.00	0.0000	199.98	4.9293	57.88	4.8073	4,029.27	17.3287

Material Aspects:

NYSE ARCA OPTIONS:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to NYSE ARCA Options Fees and Charges available at https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

Nasdaq ISE, LLC:

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Additionally, please refer to International Securities Exchange, LLC Options Pricing Schedule available at <https://listingcenter.nasdaq.com/rulebook/ise/rules>

MEMX LLC:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to MEMX LLC [MEMX] Pricing Schedule available at <https://info.memxtrading.com/us-options-trading-resources/us-options-fee-schedule/>

Cboe C2 Exchange, Inc.:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>
Additionally, please refer to CBOE C2 Options Exchange [C2OX] Pricing Schedule available at https://www.cboe.com/us/options/membership/fee_schedule/ctwo/

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Additionally, please refer to CBOE Pricing Schedule available at https://cdn.cboe.com/resources/membership/Cboe_FeeSchedule.pdf

The NASDAQ Options Market LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>
Additionally, please refer to Nasdaq Options Market Pricing Schedule available at <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-options-7>

NYSE American LLC:
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Additionally, please refer to NYSE AMEX Options [AMXO] Pricing Schedule available at https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

Cboe EDGX Exchange, Inc.:
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August 2025

S&P 500 Stocks

Summary

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-	-	-	-	-

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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August 2025

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
-	-	-	-	-

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)

August 2025

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	0.03	0.96	1.20	97.80

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)
Cboe Exchange, Inc.	15.82	0.00	12.50	0.00	16.06	0.00	0.0000	-209.92	-18.6099	-172.39	-5.1429	1,647.80	18.5437
Cboe EDGX Exchange, Inc.	15.31	0.00	6.25	0.00	15.60	0.00	0.0000	845.44	9.7807	256.14	11.6163	7,191.69	26.2413
Nasdaq ISE, LLC	14.77	0.00	9.38	0.00	15.01	0.00	0.0000	-2,870.25	-92.0247	1,383.36	96.0000	3,643.90	23.5927
Nasdaq PHLX LLC	13.18	0.00	3.12	0.00	13.44	0.00	0.0000	-111.65	-5.2615	-10.56	-7.0400	483.30	8.4819
Cboe C2 Exchange, Inc.	12.21	0.00	0.00	0.00	12.49	0.00	0.0000	-916.61	-61.0260	322.62	61.3346	3,150.35	23.4418
NYSE ARCA OPTIONS	7.85	0.00	0.00	0.00	8.03	0.00	0.0000	0.00	0.0000	0.00	0.0000	104.45	63.6890
Miami International Securities Exchange, LLC	4.51	0.00	15.62	0.00	4.46	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Nasdaq MRX, LLC	3.37	0.00	18.75	0.00	3.26	0.00	0.0000	638.44	44.6774	-4.92	-4.0000	613.18	28.0889
Cboe BZX Exchange, Inc.	3.01	0.00	0.00	0.00	3.08	0.00	0.0000	-1,290.67	-64.7602	4,576.57	72.7942	-90.85	-51.9143

Material Aspects:

Cboe Exchange, Inc.:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>
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Nasdaq ISE, LLC:
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Additionally, please refer to International Securities Exchange, LLC Options Pricing Schedule available at <https://listingcenter.nasdaq.com/rulebook/ise/rules>

Nasdaq PHLX LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to Philadelphia Options Exchange Options Pricing Schedule available at <https://listingcenter.nasdaq.com/rulebook/phlx/rules>

Cboe C2 Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>
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NYSE ARCA OPTIONS:
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Additionally, please refer to NYSE ARCA Options Fees and Charges available at https://www.nyse.com/publicdocs/nyse/markets/arca-options/NYSE_Arca_Options_Fee_Schedule.pdf

Miami International Securities Exchange, LLC:
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Additionally, please refer to Miami International Securities Exchange [XMIO] Pricing Schedule available at <https://www.miaxglobal.com/markets/us-options/all-options-exchanges/fees-archive>

Nasdaq MRX, LLC:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>
Additionally, please refer to Nasdaq MRX [MCRY] Pricing Schedule available at <https://listingcenter.nasdaq.com/rulebook/mrx/rules/MRX%20Options%20>

Cboe BZX Exchange, Inc.:
Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>
Additionally, please refer to CBOE BZX Options Exchange Options Pricing Schedule available at https://www.cboe.com/us/options/membership/fee_schedule/bzx/

September 2025

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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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)
Cboe C2 Exchange, Inc.	20.09	0.00	0.00	0.00	20.84	0.00	0.0000	-6,313.22	-48.5296	1,666.38	45.7294	1,843.41	22.9852
Nasdaq ISE, LLC	11.69	0.00	14.29	0.00	11.98	0.00	0.0000	-512.97	-30.1925	1,650.10	81.6477	4,022.78	24.0281
Cboe Exchange, Inc.	10.49	0.00	28.57	0.00	10.58	0.00	0.0000	-310.53	-11.9666	-44.36	-5.3387	1,651.15	25.5557
NYSE ARCA OPTIONS	10.19	0.00	0.00	0.00	10.58	0.00	0.0000	0.00	0.0000	0.00	0.0000	-14.79	-8.8563
NYSE American LLC	10.04	0.00	0.00	0.00	10.42	0.00	0.0000	-162.28	-6.2200	-46.51	-11.1002	3,190.99	20.3806
MEMX LLC	9.75	0.00	0.00	0.00	10.11	0.00	0.0000	-1,986.34	-66.8126	1,407.14	45.8651	-24.32	-40.5333
Cboe BZX Exchange, Inc.	6.90	0.00	0.00	0.00	7.15	0.00	0.0000	-3,956.75	-55.7681	5,524.84	58.4206	-84.38	-26.6183
The NASDAQ Options Market LLC	4.95	0.00	0.00	0.00	5.13	0.00	0.0000	0.00	0.0000	0.00	0.0000	-95.95	-63.5430
Casey Securities LLC	2.70	0.00	0.00	58.82	1.24	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
ICAP Corporates LLC	1.95	0.00	0.00	41.18	0.93	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000
Miami International Securities Exchange, LLC	1.80	0.00	0.00	0.00	1.87	0.00	0.0000	0.00	0.0000	0.00	0.0000	0.00	0.0000

Material Aspects:

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Additionally, please refer to NYSE AMEX Options [AMXO] Pricing Schedule available at https://www.nyse.com/publicdocs/nyse/markets/american-options/NYSE_American_Options_Fee_Schedule.pdf

MEMX LLC:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to MEMX LLC [MEMX] Pricing Schedule available at <https://info.memxtrading.com/us-options-trading-resources/us-options-fee-schedule/>

Cboe BZX Exchange, Inc.:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to CBOE BZX Options Exchange Options Pricing Schedule available at https://www.cboe.com/us/options/membership/fee_schedule/bzx/

The NASDAQ Options Market LLC:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to Nasdaq Options Market Pricing Schedule available at <https://listingcenter.nasdaq.com/rulebook/nasdaq/rules/nasdaq-options-7>

Casey Securities LLC:

Guggenheim Securities, LLC pays a flat fee of \$0.05 per contract plus exchange, regulatory, market data and clearing fees. Casey considers all orders routed to Casey as directed orders for the purposes of Rule 606. For additional information regarding order routing practices for Casey, please refer to <https://www.caseysec.com/disclosures>

ICAP Corporates LLC:

Guggenheim Securities, LLC accesses liquidity through BofA Securities, Inc. ("BofA") and BofA makes all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>

Miami International Securities Exchange, LLC:

Guggenheim Securities, LLC accesses liquidity through Dash/IMC Financial Markets("Dash") and BofA Securities, Inc. ("BofA") and they make all routing decisions. Guggenheim Securities, LLC pays exchange, regulatory, market data and clearing fees and may receive exchange rebates where applicable. For additional information regarding BofA's routing statistics, please refer to the relevant quarterly disclosure available at <http://public.s3.com/rule606/bofas/>. For additional information regarding Dash's routing statistics, please refer to the relevant quarterly disclosure available at <https://dashfinancial.comrule-606/>

Additionally, please refer to Miami International Securities Exchange [XMIO] Pricing Schedule available at <https://www.miaxglobal.com/markets/us-options/all-options-exchanges/fees-archive>