

# Forte Securities Ltd – Held NMS Stocks and Options Order Routing Public Report

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2<sup>nd</sup> Quarter, 2022

April 2022

## S&P 500 Stocks

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

### Venues

| Venues<br>Non-<br>Directed<br>Order<br>Flow | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit<br>Orders (%) | Non-<br>Marketable<br>Limit<br>Orders (%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Market<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Other<br>Orders(cents<br>per hundred<br>shares) |
|---|-----------------------------------|-------------------------|-----------------------------------|---|------------------------|---|--|---|--|--|---|--|---|
| -   | -                                 | -                       | -                                 | -   | -                      | -   | -  | -   | -  | -  | -   | -  | -   |

### Material Aspects:

April 2022

## Non-S&P 500 Stocks

### Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

### Venues

| Venues 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:

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April 2022

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## 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

| Venues 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Chicago Board Options Exchange (CBOE) | 64.90                   | 0.00              | 0.00                        | 0.00                            | 64.90            | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |
| Boston Options Exchange (BOX)         | 25.17                   | 0.00              | 0.00                        | 0.00                            | 25.17            | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |
| American Stock Exchange (AMEX)        | 9.93                    | 0.00              | 0.00                        | 0.00                            | 9.93             | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |

Material Aspects:

May 2022

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S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

Venues

| Venues<br>Non-<br>Directed<br>Order<br>Flow | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit<br>Orders (%) | Non-<br>Marketable<br>Limit<br>Orders (%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Market<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Other<br>Orders(cents<br>per hundred<br>shares) |
|---|-----------------------------------|-------------------------|-----------------------------------|---|------------------------|---|--|---|--|--|---|--|---|
| -   | -                                 | -                       | -                                 | -   | -                      | -   | -  | -   | -  | -  | -   | -  | -   |

Material Aspects:

May 2022

Non-S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

Venues

| Venues<br>Non-<br>Directed<br>Order<br>Flow | Non-<br>Directed<br>Orders<br>(%) | Market<br>Orders<br>(%) | Marketable<br>Limit<br>Orders (%) | Non-<br>Marketable<br>Limit<br>Orders (%) | Other<br>Orders<br>(%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Market<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Other<br>Orders(cents<br>per hundred<br>shares) |
|---|-----------------------------------|-------------------------|-----------------------------------|---|------------------------|---|--|---|--|--|---|--|---|
| -   | -                                 | -                       | -                                 | -   | -                      | -   | -  | -   | -  | -  | -   | -  | -   |

Material Aspects:

May 2022

Options

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 100.00                                    | 0.00   | 0.00   | 0.00   | 100.00                                      |

Venues

| Venues Non-Directed<br>Order Flow              | Non-Directed<br>Orders (%) | Market<br>Orders (%) | Marketable<br>Limit<br>Orders (%) | Non-Marketable<br>Limit<br>Orders (%) | Other<br>Orders (%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Market<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Non-<br>Marketable<br>Limit<br>Orders(cents<br>per hundred<br>shares) | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Other<br>Orders(cents<br>per hundred<br>shares) |
|--|----------------------------|----------------------|-----------------------------------|---------------------------------------|---------------------|---|--|---|--|--|---|--|---|
| Chicago Board<br>Options<br>Exchange<br>(CBOE) | 75.12                      | 0.00                 | 0.00                              | 0.00                                  | 75.12               | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000   | 0.0000  |
| American<br>Stock<br>Exchange<br>(AMEX)        | 21.39                      | 0.00                 | 0.00                              | 0.00                                  | 21.39               | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000   | 0.0000  |
| Boston<br>Options<br>Exchange<br>(BOX)         | 3.48                       | 0.00                 | 0.00                              | 0.00                                  | 3.48                | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000   | 0.0000  | 0.0000   | 0.0000  |

Material Aspects:

June 2022

S&P 500 Stocks

Summary

| Non-Directed Orders<br>as % of All Orders | Market Orders as % of<br>Non-Directed Orders | Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Non-Marketable Limit<br>Orders as % of Non-<br>Directed Orders | Other Orders as % of<br>Non-Directed Orders |
|---|--|--|--|---|
| 0.00                                      | 0.00   | 0.00   | 0.00   | 0.00  |

Venues

| Venues<br>Non-Directed | Non-Directed<br>Orders (%) | Market<br>Orders (%) | Marketable<br>Limit<br>Orders (%) | Non-Marketable<br>Limit<br>Orders (%) | Other<br>Orders (%) | Net Payment<br>Paid/Received<br>for Market<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Market<br>Orders(cents | Net Payment<br>Paid/Received<br>for<br>Marketable | Net Payment<br>Paid/Received<br>for<br>Marketable | Net Payment<br>Paid/Received<br>for Non-<br>Marketable | Net Payment<br>Paid/Received<br>for Non-<br>Marketable | Net Payment<br>Paid/Received<br>for Other<br>Orders(USD) | Net Payment<br>Paid/Received<br>for Other<br>Orders(cents |
|------------------------|----------------------------|----------------------|-----------------------------------|---------------------------------------|---------------------|---|--|---|---|--|--|--|---|
|------------------------|----------------------------|----------------------|-----------------------------------|---------------------------------------|---------------------|---|--|---|---|--|--|--|---|

| Order Flow |   |   |   |   |   |   | per hundred shares) | Limit Orders(USD) | Limit Orders(cents per hundred shares) | Limit Orders(USD) | Limit Orders(cents per hundred shares) |   | per hundred shares) |
|------------|---|---|---|---|---|---|---------------------|-------------------|--|-------------------|--|---|---------------------|
| -          | - | - | - | - | - | - | -                   | -                 | -                                      | -                 | -                                      | - | -                   |

Material Aspects:

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June 2022

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

| Venues 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:

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June 2022

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

| Venues 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) |
|---------------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Chicago Board Options Exchange (CBOE) | 77.21                   | 0.00              | 0.00                        | 0.00                            | 77.21            | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |
| American Stock Exchange (AMEX)        | 13.97                   | 0.00              | 0.00                        | 0.00                            | 13.97            | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |
| Boston Options Exchange (BOX)         | 7.35                    | 0.00              | 0.00                        | 0.00                            | 7.35             | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |
| Philadelphia Stock Exchange (PHLX)    | 1.47                    | 0.00              | 0.00                        | 0.00                            | 1.47             | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000   | 0.0000  | 0.0000  | 0.0000   |

**Material Aspects:**