

# Futu Clearing Inc. - Held NMS Stocks and Options Order Routing Public Report

Generated on Sat Jul 30 2022 02:58:07 GMT-0400 (Eastern Daylight Time)

2nd Quarter, 2022

April 2022

---

## 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
100.00	6.63	22.20	71.16	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)
CDRG	53.67	59.11	56.61	52.24	0.00	1,250.9834	15.3353	6,974.4453	15.3341	9,561.3115	15.3313	0.0000	0.0000
VALR	35.06	30.62	32.87	36.16	0.00	-306.2737	-7.9350	-1,677.3668	-7.9401	-3,083.7173	-7.9388	0.0000	0.0000
SPDR	11.27	10.26	10.51	11.60	0.00	154.4113	11.0636	561.2989	7.3188	1,058.6072	8.7178	0.0000	0.0000
DFIN	0.00	0.02	0.01	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

### Material Aspects:

#### CDRG:

Futu Clearing, Inc. receives payment for routing listed equity order flow to market makers. For marketable orders the payment rate is \$0.001 per share or less, for non-marketable orders the rate is \$0.003 per share or less, and for extended hours orders the rate is \$0.0002 per share or less.

#### VALR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to VALR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met.

#### SPDR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to SPDR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

#### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

-----

April 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
100.00	4.32	28.80	66.89	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)
CDRG	51.73	58.51	53.27	50.62	0.00	20,569.5059	15.3351	233,043.8594	15.3365	225,984.1094	15.3336	0.0000	0.0000
VALR	36.77	31.35	35.57	37.64	0.00	-5,886.1294	-7.9377	-75,432.8281	-7.9408	-86,069.6719	-7.9392	0.0000	0.0000
SPDR	11.50	10.14	11.16	11.73	0.00	1,742.0757	7.4346	22,750.3438	7.6312	26,473.7285	7.5805	0.0000	0.0000
DFIN	0.00	0.00	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

## Material Aspects:

### CDRG:

Futu Clearing, Inc. receives payment for routing listed equity order flow to market makers. For marketable orders the payment rate is \$0.001 per share or less, for non-marketable orders the rate is \$0.003 per share or less, and for extended hours orders the rate is \$0.0002 per share or less.

### VALR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to VALR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

### SPDR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to SPDR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

## April 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	3.08	44.95	51.97	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)
CDRG	50.39	50.57	50.53	50.26	0.00	13,134.0410	27.9080	312,921.8438	27.9080	339,321.0938	27.9080	0.0000	0.0000
GEBB	49.61	49.43	49.47	49.74	0.00	16,520.2793	37.0053	418,070.7500	37.0053	443,770.9375	37.0053	0.0000	0.0000

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)
DFIN	0.00	0.00	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

#### Material Aspects:

##### CDRG:

Futu Clearing, Inc. receives payment for routing multi-listed option order flow to market makers. For complex orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other complex orders the payment rate is \$0.90 per contract or less. For marketable orders on classes in the penny interval program the payment rate is \$0.50 per contract or less, and for all other marketable orders the payment rate is \$1.00 per contract or less. For non-marketable orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other non-marketable orders the payment rate is \$0.90 per contract or less. All market makers pay the same rate for each respective order flow type. Futu Clearing, Inc. does not negotiate payment as a condition for sending more order flow to a market maker.

##### GEBB:

Futu Clearing, Inc. receives payment for routing multi-listed option order flow to market makers. For complex orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other complex orders the payment rate is \$0.90 per contract or less. For marketable orders on classes in the penny interval program the payment rate is \$0.50 per contract or less, and for all other marketable orders the payment rate is \$1.00 per contract or less. For non-marketable orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other non-marketable orders the payment rate is \$0.90 per contract or less. All market makers pay the same rate for each respective order flow type. Futu Clearing, Inc. does not negotiate payment as a condition for sending more order flow to a market maker.

##### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

## May 2022

### 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
100.00	5.83	23.00	71.17	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)
CDRG	53.45	59.04	55.23	52.42	0.00	1,165.4414	15.5190	7,120.2256	15.5195	12,593.3086	15.5197	0.0000	0.0000
VALR	34.84	30.26	33.41	35.67	0.00	-18.1773	-0.5114	-131.9576	-0.5085	-255.0244	-0.5097	0.0000	0.0000
SPDR	11.65	10.48	11.28	11.86	0.00	110.7790	9.0637	834.7051	9.0677	1,550.7545	9.0678	0.0000	0.0000
DFIN	0.06	0.21	0.07	0.04	0.00	0.3480	4.0046	2.3410	4.7961	1.7860	4.9819	0.0000	0.0000

#### Material Aspects:

##### CDRG:

Futu Clearing, Inc. receives payment for routing listed equity order flow to market makers. For marketable orders the payment rate is \$0.001 per share or less, for non-marketable orders the rate is \$0.003 per share or less, and for extended hours orders the rate is \$0.0002 per share or less.

##### VALR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to VALR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

##### SPDR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to SPDR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

##### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

## May 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
100.00	4.74	28.13	67.13	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)
CDRG	53.67	59.62	54.90	52.74	0.00	30,940.2207	15.5195	275,576.7812	15.5196	291,402.7188	15.5188	0.0000	0.0000
VALR	34.70	30.26	33.77	35.40	0.00	-526.8828	-0.5107	-5,387.0024	-0.5082	-6,371.2476	-0.5182	0.0000	0.0000
SPDR	11.59	10.04	11.28	11.82	0.00	3,157.4548	9.0679	32,242.1152	9.0681	37,394.3320	9.0654	0.0000	0.0000
DFIN	0.05	0.08	0.05	0.04	0.00	11.1030	4.9998	52.2160	4.9993	70.6710	4.9999	0.0000	0.0000

#### Material Aspects:

##### CDRG:

Futu Clearing, Inc. receives payment for routing listed equity order flow to market makers. For marketable orders the payment rate is \$0.001 per share or less, for non-marketable orders the rate is \$0.003 per share or less, and for extended hours orders the rate is \$0.0002 per share or less.

##### VALR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to VALR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

##### SPDR:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to SPDR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

##### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

## May 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	3.18	44.54	52.28	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)
GEBB	49.84	50.24	49.88	49.78	0.00	21,771.7012	37.0053	460,592.0938	37.0053	495,192.0312	37.0053	0.0000	0.0000
CDRG	49.75	49.39	49.70	49.82	0.00	16,242.9873	27.9080	334,902.9688	27.9080	368,076.8750	27.9080	0.0000	0.0000
DFIN	0.41	0.37	0.42	0.40	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

## Material Aspects:

### GEBB:

Futu Clearing, Inc. receives payment for routing multi-listed option order flow to market makers. For complex orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other complex orders the payment rate is \$0.90 per contract or less. For marketable orders on classes in the penny interval program the payment rate is \$0.50 per contract or less, and for all other marketable orders the payment rate is \$1.00 per contract or less. For non-marketable orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other non-marketable orders the payment rate is \$0.90 per contract or less. All market makers pay the same rate for each respective order flow type. Futu Clearing, Inc. does not negotiate payment as a condition for sending more order flow to a market maker.

### CDRG:

Futu Clearing, Inc. receives payment for routing multi-listed option order flow to market makers. For complex orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other complex orders the payment rate is \$0.90 per contract or less. For marketable orders on classes in the penny interval program the payment rate is \$0.50 per contract or less, and for all other marketable orders the payment rate is \$1.00 per contract or less. For non-marketable orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other non-marketable orders the payment rate is \$0.90 per contract or less. All market makers pay the same rate for each respective order flow type. Futu Clearing, Inc. does not negotiate payment as a condition for sending more order flow to a market maker.

### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

## June 2022

## 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
100.00	5.13	25.91	68.96	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)
CDRG	53.01	58.87	55.52	51.63	0.00	1,957.1222	14.5792	13,150.3496	14.5793	17,800.0645	14.5793	0.0000	0.0000
VALR	34.38	30.63	32.54	35.35	0.00	-664.8281	-10.4146	-5,349.5229	-10.4155	-8,133.1592	-10.4151	0.0000	0.0000
SPDR	9.82	8.17	9.16	10.19	0.00	137.1317	9.0678	1,495.2391	9.0683	2,030.6510	9.0677	0.0000	0.0000
DFIN	2.79	2.33	2.78	2.83	0.00	20.1806	3.1163	152.6359	3.1204	225.5514	3.1203	0.0000	0.0000

## Material Aspects:

### CDRG:

Futu Clearing, Inc. receives payment for routing listed equity order flow to market makers. For marketable orders the payment rate is \$0.001 per share or less, for non-marketable orders the rate is \$0.003 per share or less, and for extended hours orders the rate is \$0.0002 per share or less.

**VALR:**

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to VALR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

**SPDR:**

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to SPDR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

**DFIN:**

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

---

## 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
100.00	4.79	28.42	66.79	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)
CDRG	51.86	58.92	53.18	50.80	0.00	36,021.7344	14.5791	348,432.7500	14.5792	350,683.2500	14.5791	0.0000	0.0000
VALR	35.30	30.08	34.34	36.09	0.00	-12,757.7168	-10.4134	-147,500.7500	-10.4147	-172,228.0781	-10.4144	0.0000	0.0000
SPDR	10.24	8.56	9.92	10.50	0.00	2,957.9702	9.0674	35,723.4648	9.0678	43,026.8633	9.0673	0.0000	0.0000
DFIN	2.59	2.45	2.57	2.62	0.00	287.3628	3.1110	3,447.3262	3.1195	3,727.3645	3.1170	0.0000	0.0000

**Material Aspects:****CDRG:**

Futu Clearing, Inc. receives payment for routing listed equity order flow to market makers. For marketable orders the payment rate is \$0.001 per share or less, for non-marketable orders the rate is \$0.003 per share or less, and for extended hours orders the rate is \$0.0002 per share or less.

**VALR:**

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to VALR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

**SPDR:**

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to SPDR and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

**DFIN:**

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met

---

## 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	3.07	44.92	52.00	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)
GEBB	49.05	49.44	49.14	48.95	0.00	34,962.9805	37.0053	588,005.8125	37.0053	635,106.5000	37.0053	0.0000	0.0000
CDRG	48.94	48.55	48.85	49.05	0.00	24,249.7793	27.9080	425,015.2500	27.9080	475,867.7188	27.9080	0.0000	0.0000
DFIN	2.01	2.01	2.01	2.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

## Material Aspects:

### GEBB:

Futu Clearing, Inc. receives payment for routing multi-listed option order flow to market makers. For complex orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other complex orders the payment rate is \$0.90 per contract or less. For marketable orders on classes in the penny interval program the payment rate is \$0.50 per contract or less, and for all other marketable orders the payment rate is \$1.00 per contract or less. For non-marketable orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other non-marketable orders the payment rate is \$0.90 per contract or less. All market makers pay the same rate for each respective order flow type. Futu Clearing, Inc. does not negotiate payment as a condition for sending more order flow to a market maker.

### CDRG:

Futu Clearing, Inc. receives payment for routing multi-listed option order flow to market makers. For complex orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other complex orders the payment rate is \$0.90 per contract or less. For marketable orders on classes in the penny interval program the payment rate is \$0.50 per contract or less, and for all other marketable orders the payment rate is \$1.00 per contract or less. For non-marketable orders on classes in the penny interval program the payment rate is \$0.40 per contract or less, and for all other non-marketable orders the payment rate is \$0.90 per contract or less. All market makers pay the same rate for each respective order flow type. Futu Clearing, Inc. does not negotiate payment as a condition for sending more order flow to a market maker.

### DFIN:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to DFIN and receives exchange rebates as credits where applicable Futu Clearing Inc also receives incremental pricing benefits if certain volume thresholds are met