

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

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4th Quarter, 2021

October 2021

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	7.20	23.64	69.16	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)
VALR	35.36	40.13	34.17	35.27	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	32.43	30.59	31.76	32.84	0.00	4,136.8452	4,339.5000	12,706.9238	4,339.5000	19,722.5938	4,339.5000	0.0000	0.0000
CDRG	32.21	29.28	34.07	31.88	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

CDRG:

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

October 2021

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	4.53	35.61	59.87	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)
VALR	35.39	33.03	35.79	35.33	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	35.12	32.58	35.24	35.25	0.00	321,359.5000	4,339.5000	3,517,262.0000	4,339.5000	3,165,330.0000	4,339.5000	0.0000	0.0000
CDRG	29.49	34.39	28.97	29.42	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

CDRG:

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

October 2021

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	7.28	41.85	50.87	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)
IBKR	95.89	99.06	96.17	95.22	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GEBB	2.08	0.29	2.00	2.40	0.00	8.6895	33.4210	1,034.3800	33.4210	1,245.2665	33.4210	0.0000	0.0000
CDRG	2.03	0.65	1.83	2.39	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

IBKR:

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

GEBB:

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

CDRG:

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

November 2021

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	8.57	20.33	71.10	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)
VALR	35.78	34.88	34.91	36.14	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDRG	32.89	34.75	36.76	31.56	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	31.33	30.37	28.33	32.30	0.00	2,207.0305	1,576.0001	5,893.1367	1,576.0000	12,451.6611	1,576.0000	0.0000	0.0000

Material Aspects:

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

CDRG:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to CDRG 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

November 2021

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	4.13	23.25	72.62	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)
VALR	36.59	33.12	36.23	36.90	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	33.08	31.35	32.90	33.24	0.00	84,034.3672	1,576.0000	946,111.8750	1,576.0000	1,360,758.3750	1,575.9999	0.0000	0.0000
CDRG	30.32	35.53	30.86	29.86	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

CDRG:

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

November 2021

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	5.77	41.64	52.59	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)
IBKR	100.00	100.00	100.00	100.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

IBKR:

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

December 2021

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	8.68	19.52	71.79	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)
VALR	37.43	33.48	38.07	37.73	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDRG	33.94	36.59	36.49	32.93	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	28.63	29.93	25.44	29.34	0.00	751.0598	1,567.3201	4,067.9790	1,567.3201	9,494.3545	1,567.3199	0.0000	0.0000

Material Aspects:

VALR:

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CDRG:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to CDRG 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

December 2021

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	3.82	26.63	69.55	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)
VALR	38.42	36.29	38.41	38.54	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
CDRG	32.09	36.01	32.73	31.63	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	29.49	27.70	28.86	29.83	0.00	133,594.1250	1,567.3199	1,266,055.5000	1,567.3199	1,538,018.6250	1,567.3199	0.0000	0.0000

Material Aspects:**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

CDRG:

Futu Clearing Inc pays exchange, regulatory, market data and clearing fees to CDRG 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

December 2021

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	4.70	42.04	53.26	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)
IBKR	100.00	100.00	100.00	100.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

IBKR:

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