

Moomoo Financial Inc - Held NMS Stocks and Options Order Routing Public Report

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3rd Quarter, 2023

July 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 |
|--|---|---|---|--|
| 100.00 | 5.08 | 15.58 | 76.81 | 2.52 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CITADEL SECURITIES LLC | 65.16 | 65.51 | 64.68 | 65.22 | 65.57 | 280.64 | 9.8899 | 466.20 | 9.9973 | 2,720.60 | 28.5724 | 330.60 | 6.9882 |
| Virtu Americas, LLC | 22.67 | 28.47 | 26.02 | 21.50 | 25.84 | 153.74 | 10.0000 | 220.02 | 10.0000 | 1,144.74 | 29.7566 | 190.84 | 10.6155 |
| Virtu Agency | 7.08 | 1.15 | 4.50 | 8.15 | 2.64 | -0.35 | -5.0000 | -11.50 | -5.0000 | -25.53 | -5.0000 | 0.00 | 0.0000 |

Material Aspects:

CITADEL SECURITIES LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Citadel Securities recognized under MPID: CDRG for the order handling and execution of customer market and limit orders entered between 4:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc. receives payment for order flow for orders executed during regular market hours from 9:30 AM ET up to 4:00 PM ET. The rate received for executed marketable orders is \$0.001 per share executed and the rate received for executed non-marketable orders is \$0.003 per share executed.

Futu Clearing Inc. receives payment for order flow for orders executed outside regular market orders from 7:00 AM ET up to 9:30 AM ET and orders executed outside regular market orders from 4:00 PM ET up to 8:00 PM ET, the rate received is \$0.0002 per share executed.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model for orders executed outside regular market orders from 4:00 AM ET up to 7:00 AM ET.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Virtu Americas, LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Virtu Americas LLC recognized under MPID: NITE for the order handling and execution of customer market and limit orders originated and entered between 7:00 AM ET up to 8:00 PM ET.

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Virtu Agency:

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July 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 |
|--|---|---|---|--|
| 100.00 | 5.66 | 18.25 | 75.38 | 0.70 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CITADEL SECURITIES LLC | 62.03 | 62.21 | 61.43 | 62.20 | 58.97 | 3,196.10 | 5.2488 | 11,545.80 | 5.5161 | 35,842.64 | 12.8582 | -453.99 | -0.2043 |
| Virtu Americas, LLC | 21.85 | 27.53 | 22.75 | 21.15 | 27.14 | 1,518.55 | 5.2979 | 5,927.53 | 5.2171 | 12,992.27 | 12.9073 | 1,682.38 | 2.4977 |
| Dash/IMC Financial Markets | 8.43 | 7.76 | 9.56 | 8.20 | 9.13 | -473.90 | -2.1611 | -25.96 | -0.7255 | 0.00 | 0.0000 | -1,145.53 | -2.2117 |
| Virtu Agency | 6.67 | 1.53 | 5.14 | 7.45 | 4.15 | -10.47 | -5.0000 | -898.48 | -5.0000 | -952.30 | -5.0000 | -2.40 | -5.0000 |

Material Aspects:

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Futu Clearing Inc. receives payment for order flow for orders executed during regular market hours from 9:30 AM ET up to 4:00 PM ET. The rate received for executed marketable orders is \$0.001 per share executed and the rate received for executed non-marketable orders is \$0.003 per share executed.

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Dash/IMC Financial Markets:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Dash Financial Technologies LLC recognized under MPID: DFIN or DFTR for the order handling and execution of customer market and limit orders entered between 4:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model.

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July 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 |
|--|---|---|---|--|
| 100.00 | 3.77 | 13.82 | 75.33 | 7.08 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Global Execution Brokers, LP | 57.98 | 58.01 | 57.35 | 57.39 | 65.51 | 9,428.50 | 34.5886 | 35,802.70 | 39.4855 | 56,342.60 | 45.1181 | 2,535.80 | 40.7096 |
| CITADEL SECURITIES LLC | 35.47 | 34.95 | 35.83 | 35.65 | 33.17 | 8,096.00 | 35.7140 | 43,653.00 | 44.3412 | 29,059.70 | 44.5975 | 1,331.70 | 40.6254 |
| Dash/IMC Financial Markets | 6.55 | 7.05 | 6.82 | 6.96 | 1.33 | 1,104.40 | 33.2951 | 4,326.70 | 41.9864 | 4,820.20 | 42.5738 | 73.80 | 40.5495 |

Material Aspects:

Global Execution Brokers, LP:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes option order flow to Global Execution Brokers, LP, recognized under MPID: GEBB for the order handling and execution of customer single leg option market and limit orders as well as complex option limit orders.

Futu Clearing Inc. receives payment for order flow for single leg option marketable order flow at a rate of \$0.50 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$1.00 per contract executed for all other. Please note effective May 1, 2023 Futu Clearing Inc. began receiving payment for order flow for single leg option marketable order flow when the underlying symbol is SPY, AAPL, or QQQ for option symbols that can be quoted and traded in minimum increments of \$0.01 at a reduced rate of \$0.20 per contract executed.

Futu Clearing Inc. receives payment for order flow for single leg option non-marketable order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. receives payment for order flow for complex option order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

CITADEL SECURITIES LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes option order flow to Citadel Securities recognized under MPID: CDRG for the order handling and execution of customer single leg option market and limit orders as well as complex option limit orders.

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August 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 |
|--|---|---|---|--|
| 100.00 | 4.77 | 13.84 | 78.43 | 2.96 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CITADEL SECURITIES LLC | 65.03 | 64.80 | 65.90 | 64.94 | 63.61 | 201.96 | 9.8433 | 550.85 | 9.9982 | 3,289.81 | 28.9382 | 556.54 | 10.8146 |
| Virtu Americas, LLC | 22.28 | 28.96 | 25.85 | 21.02 | 28.15 | 98.38 | 10.0000 | 286.82 | 10.0000 | 1,334.15 | 29.9218 | 238.28 | 12.7440 |
| Virtu Agency | 7.39 | 1.03 | 3.26 | 8.67 | 3.11 | -0.33 | -5.0000 | -6.84 | -5.0000 | -22.85 | -5.0000 | 0.00 | 0.0000 |

Material Aspects:

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August 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 |
|--|---|---|---|--|
| 100.00 | 5.40 | 18.70 | 75.30 | 0.60 |

Venues

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|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CITADEL SECURITIES LLC | 62.64 | 63.17 | 62.00 | 62.77 | 61.75 | 3,143.51 | 3.2743 | 11,004.03 | 3.8091 | 40,062.06 | 9.2792 | -3,204.18 | -0.7472 |
| Virtu Americas, LLC | 22.04 | 27.33 | 23.25 | 21.34 | 24.62 | 1,391.63 | 3.0052 | 5,482.56 | 3.4710 | 15,166.87 | 8.4747 | 1,884.27 | 1.4346 |
| Virtu Agency | 6.60 | 1.16 | 5.27 | 7.33 | 4.77 | -12.45 | -5.0000 | -1,562.31 | -5.0000 | -1,993.50 | -5.0000 | -8.45 | -5.0000 |
| Dash/IMC Financial Markets | 5.92 | 5.77 | 6.73 | 5.74 | 5.33 | -599.62 | -3.3211 | -160.98 | -3.4424 | 0.00 | 0.0000 | -1,904.82 | -4.0406 |

Material Aspects:

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August 2023

Options

Summary

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|--|---|---|---|--|
| 100.00 | 4.48 | 14.29 | 74.46 | 6.78 |

Venues

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|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Global Execution Brokers, LP | 55.64 | 55.81 | 55.06 | 54.96 | 64.31 | 10,009.10 | 33.2208 | 34,434.50 | 44.3990 | 55,490.20 | 45.3770 | 3,567.10 | 42.5719 |
| CITADEL SECURITIES LLC | 33.14 | 31.86 | 33.14 | 33.15 | 33.78 | 7,145.80 | 32.4058 | 46,748.80 | 49.1596 | 31,060.20 | 45.3017 | 1,933.20 | 43.2193 |
| Dash/IMC Financial Markets | 11.22 | 12.33 | 11.80 | 11.89 | 1.92 | 1,997.20 | 31.2453 | 6,473.30 | 42.2898 | 8,700.00 | 44.0819 | 72.20 | 40.5618 |

Material Aspects:

Global Execution Brokers, LP:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes option order flow to Global Execution Brokers, LP, recognized under MPID: GEBB for the order handling and execution of customer single leg option market and limit orders as well as complex option limit orders.

Futu Clearing Inc. receives payment for order flow for single leg option marketable order flow at a rate of \$0.50 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$1.00 per contract executed for all other. Please note effective May 1, 2023 Futu Clearing Inc. began receiving payment for order flow for single leg option marketable order flow when the underlying symbol is SPY, AAPL, or QQQ for option symbols that can be quoted and traded in minimum increments of \$0.01 at a reduced rate of \$0.20 per contract executed.

Futu Clearing Inc. receives payment for order flow for single leg option non-marketable order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. receives payment for order flow for complex option order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

CITADEL SECURITIES LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes option order flow to Citadel Securities recognized under MPID: CDRG for the order handling and execution of customer single leg option market and limit orders as well as complex option limit orders.

Futu Clearing Inc. receives payment for order flow for single leg option marketable order flow at a rate of \$0.50 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$1.00 per contract executed for all other. Please note effective May 1, 2023 Futu Clearing Inc. began receiving payment for order flow for single leg option marketable order flow when the underlying symbol is SPY, AAPL, or QQQ for option symbols that can be quoted and traded in minimum increments of \$0.01 at a reduced rate of \$0.20 per contract executed.

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Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Dash/IMC Financial Markets:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes option order flow to Dash Financial Technologies LLC recognized under MPID: DFIN or DFTR for the order handling and execution of customer single leg option market and limit orders as well as complex option limit orders.

Futu Clearing Inc. receives payment for order flow for single leg option marketable order flow at a rate of \$0.50 per contract executed for option symbols that can be quoted and traded in minimum increments of \$.01 and at a rate of \$1.00 per contract executed for all other. Please note effective May 1, 2023 Futu Clearing Inc. began receiving payment for order flow for single leg option marketable order flow when the underlying symbol is SPY, AAPL, or QQQ for option symbols that can be quoted and traded in minimum increments of \$.01 at a reduced rate of \$0.20 per contract executed.

Futu Clearing Inc. receives payment for order flow for single leg option non-marketable order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. receives payment for order flow for complex option order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

September 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 |
|--|---|---|---|--|
| 100.00 | 5.09 | 12.61 | 77.34 | 4.96 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CITADEL SECURITIES LLC | 65.18 | 64.86 | 64.75 | 65.25 | 65.60 | 262.60 | 9.8760 | 560.53 | 9.9953 | 3,035.16 | 28.7160 | 560.63 | 11.3390 |
| Virtu Americas, LLC | 21.83 | 29.40 | 25.06 | 20.51 | 26.49 | 137.73 | 10.0000 | 242.39 | 10.0000 | 1,258.07 | 29.9271 | 227.69 | 13.7121 |
| Virtu Agency | 7.34 | 0.08 | 4.39 | 8.67 | 1.45 | -0.01 | -5.0000 | -9.94 | -5.0000 | -18.65 | -5.0000 | 0.00 | 0.0000 |

Material Aspects:

CITADEL SECURITIES LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Citadel Securities recognized under MPID: CDRG for the order handling and execution of customer market and limit orders entered between 4:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc. receives payment for order flow for orders executed during regular market hours from 9:30 AM ET up to 4:00 PM ET. The rate received for executed marketable orders is \$0.001 per share executed and the rate received for executed non-marketable orders is \$0.003 per share executed.

Futu Clearing Inc. receives payment for order flow for orders executed outside regular market orders from 7:00 AM ET up to 9:30 AM ET and orders executed outside regular market orders from 4:00 PM ET up to 8:00 PM ET, the rate received is \$0.0002 per share executed.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model for orders executed outside regular market orders from 4:00 AM ET up to 7:00 AM ET.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Virtu Americas, LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Virtu Americas LLC recognized under MPID: NITE for the order handling and execution of customer market and limit orders originated and entered between 7:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc. receives payment for order flow for orders executed during regular market hours from 9:30 AM ET up to 4:00 PM ET. The rate received for executed marketable orders is \$0.001 per share executed and the rate received for executed non-marketable orders is \$0.003 per share executed.

Futu Clearing Inc. receives payment for order flow for orders executed outside regular market orders from 7:00 AM ET up to 9:30 AM ET and orders executed outside regular market orders from 4:00 PM ET up to 8:00 PM ET, the rate received is \$0.0002 per share executed.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Virtu Agency:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Virtu Americas LLC recognized as Virtu Agency or under MPID: VALR for the order handling and execution of customer limit orders originated and entered between 4:00 AM ET up to 7:00 AM ET.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

September 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 |
|--|---|---|---|--|
| 100.00 | 5.74 | 16.99 | 73.05 | 4.21 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| CITADEL SECURITIES LLC | 63.23 | 63.35 | 62.60 | 63.43 | 62.12 | 3,088.27 | 3.1105 | 6,996.07 | 2.8006 | 29,302.16 | 7.4396 | -4,251.63 | -1.2053 |
| Virtu Americas, LLC | 21.32 | 27.96 | 22.10 | 20.22 | 28.07 | 1,374.32 | 2.9642 | 3,392.21 | 2.3495 | 10,507.90 | 7.2266 | 1,348.48 | 1.1810 |
| Virtu Agency | 7.12 | 0.05 | 5.95 | 8.29 | 1.13 | -0.19 | -5.0000 | -1,536.18 | -5.0000 | -1,656.18 | -5.0000 | -2.59 | -5.0000 |
| Dash/IMC Financial Markets | 5.40 | 5.64 | 6.39 | 5.15 | 5.40 | -1,184.50 | -5.5615 | -16.00 | -1.6824 | 0.00 | 0.0000 | -856.63 | -4.4008 |

Material Aspects:

CITADEL SECURITIES LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Citadel Securities recognized under MPID: CDRG for the order handling and execution of customer market and limit orders entered between 4:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc. receives payment for order flow for orders executed during regular market hours from 9:30 AM ET up to 4:00 PM ET. The rate received for executed marketable orders is \$0.001 per share executed and the rate received for executed non-marketable orders is \$0.003 per share executed.

Futu Clearing Inc. receives payment for order flow for orders executed outside regular market orders from 7:00 AM ET up to 9:30 AM ET and orders executed outside regular market orders from 4:00 PM ET up to 8:00 PM ET, the rate received is \$0.0002 per share executed.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model for orders executed outside regular market orders from 4:00 AM ET up to 7:00 AM ET.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Virtu Americas, LLC:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Virtu Americas LLC recognized under MPID: NITE for the order handling and execution of customer market and limit orders originated and entered between 7:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc. receives payment for order flow for orders executed during regular market hours from 9:30 AM ET up to 4:00 PM ET. The rate received for executed marketable orders is \$0.001 per share executed and the rate received for executed non-marketable orders is \$0.003 per share executed.

Futu Clearing Inc. receives payment for order flow for orders executed outside regular market orders from 7:00 AM ET up to 9:30 AM ET and orders executed outside regular market orders from 4:00 PM ET up to 8:00 PM ET, the rate received is \$0.0002 per share executed.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Virtu Agency:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Virtu Americas LLC recognized as Virtu Agency or under MPID: VALR for the order handling and execution of customer limit orders originated and entered between 4:00 AM ET up to 7:00 AM ET.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

Dash/IMC Financial Markets:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes listed equity order flow to Dash Financial Technologies LLC recognized under MPID: DFIN or DFTR for the order handling and execution of customer market and limit orders entered between 4:00 AM ET up to 8:00 PM ET.

Futu Clearing Inc receives exchange rebates and pays exchange, regulatory, market data, and clearing fees with the base commission being \$0.0005 per share executed as part of a cost+ model.

Futu Clearing Inc. does not negotiate payment as a condition for sending more order flow to a venue. Venues must compete for order flow based on the execution quality they are providing our customer orders.

September 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 |
|--|---|---|---|--|
| 100.00 | 6.38 | 14.26 | 73.73 | 5.63 |

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) |
|---------------------------------|-------------------------|-------------------|-----------------------------|---------------------------------|------------------|--|---|--|---|--|---|---|--|
| Global Execution Brokers, LP | 53.27 | 52.89 | 53.28 | 52.89 | 58.70 | 6,807.50 | 35.1264 | 24,012.90 | 39.5216 | 38,307.00 | 44.1015 | 4,054.50 | 42.7916 |
| CITADEL SECURITIES LLC | 35.08 | 33.91 | 34.46 | 35.00 | 39.08 | 5,229.20 | 35.7161 | 28,179.90 | 44.5356 | 25,415.80 | 43.9971 | 1,695.00 | 41.8519 |
| Dash/IMC Financial Markets | 11.65 | 13.20 | 12.26 | 12.11 | 2.22 | 1,691.50 | 33.8706 | 5,549.00 | 40.0679 | 6,974.70 | 41.9733 | 88.00 | 40.0000 |

Material Aspects:

Global Execution Brokers, LP:

Futu US Inc. (Moomoo Financial Inc.) routes order flow to its affiliated broker-dealer Futu Clearing Inc. for further order handling. Futu Clearing Inc. routes option order flow to Global Execution Brokers, LP, recognized under MPID: GEBB for the order handling and execution of customer single leg option market and limit orders as well as complex option limit orders.

Futu Clearing Inc. receives payment for order flow for single leg option marketable order flow at a rate of \$0.50 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$1.00 per contract executed for all other. Please note effective May 1, 2023 Futu Clearing Inc. began receiving payment for order flow for single leg option marketable order flow when the underlying symbol is SPY, AAPL, or QQQ for option symbols that can be quoted and traded in minimum increments of \$0.01 at a reduced rate of \$0.20 per contract executed.

Futu Clearing Inc. receives payment for order flow for single leg option non-marketable order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

Futu Clearing Inc. receives payment for order flow for complex option order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

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CITADEL SECURITIES LLC:

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Futu Clearing Inc. receives payment for order flow for single leg option non-marketable order flow at a rate of \$0.40 per contract executed for option symbols that can be quoted and traded in minimum increments of \$0.01 and at a rate of \$0.90 per contract executed for all other option symbols.

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