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

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2nd Quarter, 2021

April 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	100.00	0.00	0.00	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)
SPDR	100.00	100.00	0.00	0.00	0.00	0.0100	10.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

April 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	3.45	34.45	62.10	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)
SPDR	54.33	61.54	53.08	54.62	0.00	2.3400	10.0000	74.0000	10.0000	110.0000	10.0000	0.0000	0.0000
CDRG	45.05	35.90	45.38	45.38	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	0.62	2.56	1.54	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

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

April 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	100.00	0.00	0.00	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)
CDRG	100.00	100.00	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 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

May 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	50.00	25.00	25.00	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)
VALR	50.00	100.00	0.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	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)
CDRG	25.00	0.00	100.00	0.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	25.00	0.00	0.00	100.00	0.00	0.0000	0.0000	0.0000	0.0000	0.1000	10.0000	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

May 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	6.26	28.46	65.29	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)
SPDR	53.88	51.61	51.77	55.02	0.00	3.0000	10.0000	119.0000	10.0000	169.0000	10.0000	0.0000	0.0000
CDRG	43.39	41.94	46.10	42.35	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	2.72	6.45	2.13	2.63	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

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

May 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	13.04	21.74	65.22	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	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:

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

June 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	6.92	31.66	61.43	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	34.59	30.30	35.76	34.47	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
SPDR	32.70	36.36	33.77	31.74	0.00	0.2910	10.0000	2.0000	10.0000	4.0000	10.0000	0.0000	0.0000
VALR	32.70	33.33	30.46	33.79	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

Material Aspects:

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

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

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	4.07	26.00	69.93	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)
SPDR	40.80	31.89	42.14	40.82	0.00	9.0000	10.0000	128.0000	10.0000	144.0000	10.0000	0.0000	0.0000
CDRG	33.60	40.16	33.76	33.15	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
VALR	25.60	27.95	24.09	26.03	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000

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Material Aspects:

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:

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

June 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	1.60	46.20	52.20	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	98.80	25.00	100.00	100.00	0.00	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000	0.0000
GEBB	1.20	75.00	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 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

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