



SEC RULE 606 ORDER DISCLOSURE

The U.S. Securities and Exchange’s Rule 606 (“Rule 606”) requires broker-dealers, such as Lime Trading Corp., that route customer orders in equity and option securities, to make publicly available quarterly reports that, among other things, identify the market centers to which customer orders are routed for execution.

Section (a)(1) of Rule 606 provides information on the routing of held, “non-directed orders” — any order that the customer has not specifically instructed to be routed to a particular venue or market center for execution. For these “non-directed orders,” Lime Trading Corp. has selected the execution venue on behalf of its customers.

The Rule 606 Report (the “Report”) presents the order routing information by calendar month and is divided into three sections:

- **Section 1** – National Market System (“NMS”) stock orders in securities included in the S&P 500 Index;
- **Section 2** - NMS stock orders in securities that are not included in the S&P 500 Index; and
- **Section 3** - NMS securities that are exchange-listed options.

Each section of the Report includes information concerning certain market centers to which Lime Trading Corp. has routed orders, sets forth the percentage of various types of non-directed orders routed to these market centers (e.g., market, marketable limit, non-marketable limit, other), and discusses the material aspects of Lime Trading Corp.’s relationship with these market centers. Material aspects of the relationship include a description of the terms of any payment for order flow and any profit-sharing arrangements that may influence a broker-dealer’s order routing decision.

Section (b)(1) of Rule 606 requires Lime Trading Corp. to disclose to its customers, upon request, for held orders in NMS stocks and orders in NMS securities that are option contracts, the identity of the venue to which the customer’s orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders.

Section (b)(3) of Rule 606(b)(3) requires Lime Trading Corp. to provide a customer, upon request, an individualized report concerning how Lime Trading Corp. handled that customer’s not held orders in NMS stocks for the prior six months. This report will be divided into separate sections for a customer’s directed orders and non-directed orders, in conformance with the “XML schema” published on the SEC website and is required to be produced within seven business days of the customer’s request. Clients may request a report generated pursuant to SEC Rule 606(b)(3) by contacting Lime Trading Corp.

For Quarters Ending:

[September 30, 2022](#)
[June 30, 2022](#)
[March 31, 2022](#)
[December 31, 2021](#)
[September 30, 2021](#)
[June 30, 2021](#)
[March 31, 2021](#)
[December 31, 2020](#)

[September 30, 2020](#)
[June 30, 2020](#)
[March 31, 2020](#)
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[September 30, 2019](#)
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