

ATS-N/UA: Part III: Manner of Operations

Item 21: Trade Reporting

a. Explain any procedures and material arrangements for reporting transactions on the NMS Stock ATS, including where an ATS reports transactions and under what circumstances.

Luminex reports its transactions immediately upon execution to the FINRA/Nasdaq ~~Carteret~~ Trade Reporting Facility ("~~Carteret~~ TRF"). Luminex is making arrangements to report its transactions to ~~the FINRA/Nasdaq Chicago TRF ("Chicago TRF")'s Alternative Display Facility ("ADF")~~ in the event the ~~FINRA/Nasdaq~~ ~~Carteret~~ TRF is unavailable. Until such time as the connectivity to the ~~ADF-Chicago TRF~~ is operational, Luminex will not allow executions on the System in the event that the ~~FINRA/Nasdaq~~ ~~Carteret~~ TRF is unavailable or if the Firm is otherwise unable to report transactions to the ~~Carteret~~ TRF. Luminex expects its connectivity to the ~~ADF-Chicago TRF~~ to be established by ~~December 31, 2020~~ January 31, 2021.

b. Are the procedures and material arrangements for reporting transactions on the NMS Stock ATS the same for all Subscribers and the Broker-Dealer Operator?

☒ Yes ☐ No