

Note: Broker-dealers are required to disclose any material arrangements with the venues listed in each section below, including, but not limited to, any internalization or payment for order flow arrangements.

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SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2018

Securities Listed on New York Stock Exchange

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	88.04%
Limit orders as percentage of total limit orders	7.84%
Other orders as percentage of total other orders	4.13%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	42.23%
2. VIRTU Americas LLC	29.17%
3. G1 Execution Services, LLC	10.65%
4. National Financial Services LLC	5.47%
5. Two Sigma Securities, LLC	4.19%
6. Cboe BYX U.S. Equities Exchange	2.82%
7. Cboe EDGX U.S. Equities Exchange	1.63%
8. NASDAQ Execution Services, LLC	1.44%
9. New York Stock Exchange	1.09%
10. UBS Securities, LLC	0.99%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	44.26%
Limit orders as percentage of total limit orders	18.78%
Other orders as percentage of total other orders	43.41%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	29.40%
Limit orders as percentage of total limit orders	20.41%
Other orders as percentage of total other orders	41.09%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	11.77%
Limit orders as percentage of total limit orders	2.86%
Other orders as percentage of total other orders	1.55%

4. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	6.03%
Limit orders as percentage of total limit orders	1.22%
Other orders as percentage of total other orders	1.55%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.58%
Limit orders as percentage of total limit orders	0.82%
Other orders as percentage of total other orders	2.33%

6. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.09%
Limit orders as percentage of total limit orders	1.22%
Other orders as percentage of total other orders	0.00%

7. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	20.41%
Other orders as percentage of total other orders	0.78%

8. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	18.37%
Other orders as percentage of total other orders	0.00%

9. New York Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	13.88%
Other orders as percentage of total other orders	0.00%

10. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.84%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	6.20%

Securities Listed on The Nasdaq Stock Market

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	86.43%
Limit orders as percentage of total limit orders	8.30%
Other orders as percentage of total other orders	5.27%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	42.04%
2. VIRTU Americas LLC	31.51%
3. G1 Execution Services, LLC	10.69%
4. Two Sigma Securities, LLC	4.21%
5. NASDAQ Execution Services, LLC	3.44%
6. National Financial Services LLC	2.92%
7. Cboe BYX U.S. Equities Exchange	2.39%
8. Cboe EDGX U.S. Equities Exchange	1.13%
9. UBS Securities, LLC	0.81%
10. Investors Exchange	0.32%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	44.10%
Limit orders as percentage of total limit orders	15.61%
Other orders as percentage of total other orders	50.00%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	32.71%
Limit orders as percentage of total limit orders	19.51%
Other orders as percentage of total other orders	30.77%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	12.00%
Limit orders as percentage of total limit orders	2.93%
Other orders as percentage of total other orders	1.54%

4. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.78%
Limit orders as percentage of total limit orders	0.98%
Other orders as percentage of total other orders	0.00%

5. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	40.98%
Other orders as percentage of total other orders	0.77%

6. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.19%
Limit orders as percentage of total limit orders	1.95%
Other orders as percentage of total other orders	0.00%

7. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.72%
Limit orders as percentage of total limit orders	0.49%
Other orders as percentage of total other orders	0.00%

8. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	13.66%
Other orders as percentage of total other orders	0.00%

9. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.33%
Limit orders as percentage of total limit orders	0.98%
Other orders as percentage of total other orders	8.46%

10. Investors Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	6.15%

Securities Listed on NYSE American or Regional Exchanges

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	98.36%
Limit orders as percentage of total limit orders	1.15%
Other orders as percentage of total other orders	0.49%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Citadel Securities LLC	42.80%
2. VIRTU Americas LLC	33.81%
3. G1 Execution Services, LLC	13.45%
4. Two Sigma Securities, LLC	4.74%
5. Cboe BYX U.S. Equities Exchange	2.93%
6. UBS Securities, LLC	0.87%
7. National Financial Services LLC	0.77%
8. NYSE Arca	0.21%
9. Cboe EDGX U.S. Equities Exchange	0.17%
10. NASDAQ Execution Services, LLC	0.10%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	43.20%
Limit orders as percentage of total limit orders	12.12%
Other orders as percentage of total other orders	35.71%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	33.95%
Limit orders as percentage of total limit orders	21.21%
Other orders as percentage of total other orders	35.71%

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	13.50%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	14.29%

4. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.75%
Limit orders as percentage of total limit orders	3.03%
Other orders as percentage of total other orders	7.14%

5. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.98%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.85%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	7.14%

7. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.74%
Limit orders as percentage of total limit orders	3.03%
Other orders as percentage of total other orders	0.00%

8. NYSE Arca

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	18.18%
Other orders as percentage of total other orders	0.00%

9. Cboe EDGX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	15.15%
Other orders as percentage of total other orders	0.00%

10. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	0.00%

Exchange - Listed Options

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	60.00%
Limit orders as percentage of total limit orders	40.00%
Other orders as percentage of total other orders	0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. Cboe Options Exchange	44.00%
2. ISE Gemini Options Exchange	12.00%
3. NYSE Arca Options	8.00%
4. BOX Option Exchange	8.00%
5. The MIAX Options Exchange	8.00%
6. NASDAQ PHLX Options	8.00%
7. Cboe BZX Options Exchange, Inc.	4.00%
8. Cboe EDGX Option Exchange	4.00%
9. NASDAQ Options Market	4.00%

Information Concerning Significant Venues :

1. Cboe Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	60.00%
Limit orders as percentage of total limit orders	20.00%
Other orders as percentage of total other orders	0.00%

2. ISE Gemini Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	30.00%
Other orders as percentage of total other orders	0.00%

3. NYSE Arca Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	20.00%
Other orders as percentage of total other orders	0.00%

4. BOX Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	13.33%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

5. The MIAX Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	6.67%
Limit orders as percentage of total limit orders	10.00%
Other orders as percentage of total other orders	0.00%

6. NASDAQ PHLX Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	13.33%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. Cboe BZX Options Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	10.00%
Other orders as percentage of total other orders	0.00%

8. Cboe EDGX Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	6.67%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. NASDAQ Options Market

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	10.00%
Other orders as percentage of total other orders	0.00%