

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, 2017

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	95.24%
Limit orders as percentage of total limit orders	4.47%
Other orders as percentage of total other orders	0.29%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Citadel Securities LLC	41.56%
2. VIRTU Americas LLC	40.92%
3. Two Sigma Securities, LLC	6.70%
4. G1 Execution Services, LLC	4.29%
5. BATS BYX Exchange	2.53%
6. Instinet LLC	1.53%
7. WOLVERINE SECURITIES, LLC	0.59%
8. EDGX Exchange, Inc.	0.53%
9. New York Stock Exchange	0.47%
10. UBS Securities, LLC	0.47%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	41.60%
Limit orders as percentage of total limit orders	36.84%
Other orders as percentage of total other orders	100.00%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	41.73%
Limit orders as percentage of total limit orders	26.32%
Other orders as percentage of total other orders	0.00%

3.	Two Sigma Securities, LLC		
	Types of Orders Routed to Venue :		
	Market orders as percentage of total market orders		6.85%
	Limit orders as percentage of total limit orders		3.95%
	Other orders as percentage of total other orders		0.00%
4.	G1 Execution Services, LLC		
	Types of Orders Routed to Venue :		
	Market orders as percentage of total market orders		4.38%
	Limit orders as percentage of total limit orders		2.63%
	Other orders as percentage of total other orders		0.00%
5.	BATS BYX Exchange		
	Types of Orders Routed to Venue :		
	Market orders as percentage of total market orders		2.65%
	Limit orders as percentage of total limit orders		0.00%
	Other orders as percentage of total other orders		0.00%
6.	Instinet LLC		
	Types of Orders Routed to Venue :		
	Market orders as percentage of total market orders		1.60%
	Limit orders as percentage of total limit orders		0.00%
	Other orders as percentage of total other orders		0.00%
7.	WOLVERINE SECURITIES, LLC		
	Types of Orders Routed to Venue :		
	Market orders as percentage of total market orders		0.56%
	Limit orders as percentage of total limit orders		1.32%
	Other orders as percentage of total other orders		0.00%
8.	EDGX 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		11.84%
	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		10.53%
	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		0.49%
	Limit orders as percentage of total limit orders		0.00%
	Other orders as percentage of total other orders		0.00%

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	92.55%
Limit orders as percentage of total limit orders	6.94%
Other orders as percentage of total other orders	0.51%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. VIRTU Americas LLC	42.24%
2. Citadel Securities LLC	37.14%
3. Two Sigma Securities, LLC	7.76%
4. G1 Execution Services, LLC	4.49%
5. BATS BYX Exchange	3.06%
6. Instinet LLC	2.04%
7. BATS BZX Exchange	0.82%
8. NASDAQ Execution Services, LLC	0.61%
9. UBS Securities, LLC	0.61%
10. EDGX Exchange, Inc.	0.51%

Information Concerning Significant Venues :

1. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	42.45%
Limit orders as percentage of total limit orders	39.71%
Other orders as percentage of total other orders	40.00%

2. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	38.48%
Limit orders as percentage of total limit orders	19.12%
Other orders as percentage of total other orders	40.00%

3. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.94%
Limit orders as percentage of total limit orders	5.88%
Other orders as percentage of total other orders	0.00%

4. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.74%
Limit orders as percentage of total limit orders	1.47%
Other orders as percentage of total other orders	0.00%

5. BATS BYX Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.20%
Limit orders as percentage of total limit orders	1.47%
Other orders as percentage of total other orders	0.00%

6. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.98%
Limit orders as percentage of total limit orders	2.94%
Other orders as percentage of total other orders	0.00%

7. BATS BZX 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	11.76%
Other orders as percentage of total other orders	0.00%

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	7.35%
Other orders as percentage of total other orders	20.00%

9. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.44%
Limit orders as percentage of total limit orders	2.94%
Other orders as percentage of total other orders	0.00%

10. EDGX 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	7.35%
Other orders as percentage of total other orders	0.00%

Securities Listed on NYSE MKT or Regional Exchanges

Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	91.17%
Limit orders as percentage of total limit orders	8.34%
Other orders as percentage of total other orders	0.48%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Citadel Securities LLC	40.14%
2. VIRTU Americas LLC	34.55%
3. Two Sigma Securities, LLC	8.48%
4. BATS BYX Exchange	4.07%
5. G1 Execution Services, LLC	3.93%
6. Instinet LLC	2.34%
7. NYSE Arca	1.59%
8. EDGX Exchange, Inc.	1.31%
9. BATS BZX Exchange	0.90%
10. National Financial Services LLC	0.76%

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	41.68%
Limit orders as percentage of total limit orders	19.83%
Other orders as percentage of total other orders	100.00%

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	36.31%
Limit orders as percentage of total limit orders	17.36%
Other orders as percentage of total other orders	0.00%

3. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.00%
Limit orders as percentage of total limit orders	3.31%
Other orders as percentage of total other orders	0.00%

4. BATS BYX Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.39%
Limit orders as percentage of total limit orders	0.83%
Other orders as percentage of total other orders	0.00%

5. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.16%
Limit orders as percentage of total limit orders	1.65%
Other orders as percentage of total other orders	0.00%

6. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.57%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. 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	19.01%
Other orders as percentage of total other orders	0.00%

8. EDGX 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	15.70%
Other orders as percentage of total other orders	0.00%

9. BATS BZX 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	10.74%
Other orders as percentage of total other orders	0.00%

10. National Financial 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	43.75%
Limit orders as percentage of total limit orders	56.25%
Other orders as percentage of total other orders	0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. The Chicago Board Options Exchange	28.13%
2. NASDAQ PHLX Options	28.13%
3. ISE Gemini Options Exchange	12.50%
4. BZX Options Exchange, Inc.	9.38%
5. BOX Option Exchange	6.25%
6. The MIAX Options Exchange	6.25%
7. NYSE Amex Options	3.13%
8. C2 Options Exchange	3.13%
9. NASDAQ Options Market	3.13%

Information Concerning Significant Venues :

1. The Chicago Board Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	42.86%
Limit orders as percentage of total limit orders	16.67%
Other orders as percentage of total other orders	0.00%

2. NASDAQ PHLX Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	42.86%
Limit orders as percentage of total limit orders	16.67%
Other orders as percentage of total other orders	0.00%

3. 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	22.22%
Other orders as percentage of total other orders	0.00%

4. 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	16.67%
Other orders as percentage of total other orders	0.00%

5. BOX Option 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	11.11%
Other orders as percentage of total other orders	0.00%

6. The MIAX Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.14%
Limit orders as percentage of total limit orders	5.56%
Other orders as percentage of total other orders	0.00%

7. NYSE Amex Options

Types of Orders Routed to Venue :

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

8. C2 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	5.56%
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	5.56%
Other orders as percentage of total other orders	0.00%