



4th Quarter 2019  
SEC Rule 606

## FIRST ALLIED SECURITIES INC

### NYSE Equities

#### Top Venues Percentage of Non-Directed Orders

Data as of 12/31/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	33.2 %	33.7 %	32.4 %	32.2 %
2	G1 EXECUTION SERVICES, LLC	19.2 %	20.9 %	16.9 %	15.2 %
3	VIRTU AMERICAS LLC	18 %	18.2 %	17.6 %	20.5 %
4	TWO SIGMA SECURITIES	15.4 %	14 %	17.4 %	17.4 %
5	UBS SECURITIES	14.2 %	13.2 %	15.7 %	11.7 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>57.8 %</b>	<b>40.8 %</b>	<b>1.4 %</b>

### AMEX Equities

#### Top Venues Percentage of Non-Directed Orders

Data as of 12/31/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	39 %	39.3 %	35.5 %	32 %
2	G1 EXECUTION SERVICES, LLC	23.3 %	23.3 %	21.4 %	35 %
3	VIRTU AMERICAS LLC	12.8 %	12.7 %	14.6 %	10.5 %
4	TWO SIGMA SECURITIES	12.8 %	12.7 %	14.8 %	14.6 %
5	UBS SECURITIES	11.9 %	11.8 %	13.7 %	4.4 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>93.9 %</b>	<b>5.2 %</b>	<b>0.9 %</b>

NASDAQ Equities

**Top Venues Percentage of Non-Directed Orders**

Data as of 12/31/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	30.8 %	30.5 %	31.5 %	39.2 %
2	G1 EXECUTION SERVICES, LLC	22 %	22.9 %	18.7 %	7.6 %
3	VIRTU AMERICAS LLC	16.7 %	16.6 %	17.2 %	20.4 %
4	TWO SIGMA SECURITIES	15.9 %	15.6 %	17.2 %	15.5 %
5	UBS SECURITIES	14.4 %	14.2 %	15.4 %	12.5 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>81 %</b>	<b>17.9 %</b>	<b>1.1 %</b>

Options

**Top Venues Percentage of Non-Directed Orders**

Data as of 12/31/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	NASDAQ OMX PHLX	20.3 %	26.4 %	17.4 %	15.9 %
2	CBOE BZX EXCHANGE	19.7 %	5.2 %	30.9 %	0 %
3	CBOE OPTIONS EXCHANGE	19 %	30.8 %	9.9 %	35.4 %
4	NASDAQ EXCHANGE	10.8 %	0.9 %	18.1 %	0 %
5	BOX OPTIONS EXCHANGE LLC	8.7 %	17.4 %	4.8 %	0 %
6	NYSE ARCA EXCHANGE	6.6 %	2.4 %	9.9 %	0.6 %
7	NYSE AMERICAN EXCHANGE	3.8 %	3.9 %	2.5 %	13 %
8	INTERNATIONAL SECURITIES EXCHANGE	3.3 %	1.5 %	0.2 %	32.2 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>33.5 %</b>	<b>58.2 %</b>	<b>8.3 %</b>

*Disclosure of Order Routing supported by Pershing LLC*