



2rd Quarter 2019
SEC Rule 606

FIRST ALLIED SECURITIES INC

NYSE Equities

Top Venues Percentage of Non-Directed Orders

Data as of 6/28/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	34.2 %	35 %	31.8 %	28.9 %
2	G1 EXECUTION SERVICES, LLC	22.6 %	23.7 %	18.6 %	20.6 %
3	VIRTU AMERICAS LLC	14.8 %	14.5 %	15.9 %	14.9 %
4	TWO SIGMA SECURITIES	14.6 %	14.1 %	16.4 %	14.1 %
5	UBS SECURITIES	13.7 %	12.6 %	17.3 %	15.4 %
Summary Statistics		100 %	76.1 %	21.2 %	2.7 %

AMEX Equities

Top Venues Percentage of Non-Directed Orders

Data as of 6/28/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	39 %	39.4 %	31.8 %	31.5 %
2	G1 EXECUTION SERVICES, LLC	23.8 %	23.5 %	26.1 %	29.4 %
3	VIRTU AMERICAS LLC	12.6 %	12.7 %	13.8 %	8.4 %
4	TWO SIGMA SECURITIES	12.4 %	12.4 %	13.5 %	11 %
5	UBS SECURITIES	12 %	11.9 %	14.7 %	8.6 %
Summary Statistics		100 %	94.3 %	3.4 %	2.3 %

NASDAQ Equities

Top Venues Percentage of Non-Directed Orders

Data as of 6/28/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	30.9 %	30.8 %	30.7 %	33.8 %
2	G1 EXECUTION SERVICES, LLC	23.3 %	23.6 %	23.3 %	17.2 %
3	VIRTU AMERICAS LLC	16 %	15.8 %	16.4 %	18.2 %
4	TWO SIGMA SECURITIES	15.6 %	16 %	14.7 %	11 %
5	UBS SECURITIES	14.1 %	13.8 %	15 %	15.5 %
Summary Statistics		100 %	78.8 %	17.2 %	4 %

Options

Top Venues Percentage of Non-Directed Orders

Data as of 6/28/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CBOE BZX EXCHANGE	24.3 %	5.8 %	36.6 %	0 %
2	CBOE OPTIONS EXCHANGE	17.6 %	35.4 %	8.8 %	6 %
3	NASDAQ OMX PHLX	15.3 %	26.4 %	10.3 %	3 %
4	NASDAQ EXCHANGE	11.6 %	0.7 %	18.6 %	0 %
5	BOSTON OPTION EXCHANGE	8 %	15.2 %	4.7 %	0 %
6	NYSE ARCA EXCHANGE	5.9 %	1.3 %	9 %	0 %
7	NYSE AMERICAN EXCHANGE	5 %	4.7 %	1.5 %	47 %
8	MIAx PEARL OPTION EXCHANGE	4.5 %	1.5 %	6.5 %	0 %
Summary Statistics		100 %	33.5 %	61.1 %	5.4 %

Order Routing data supplied by Pershing LLC