



1<sup>st</sup> Quarter 2019  
SEC Rule 606

## FIRST ALLIED SECURITIES INC

### NYSE Equities

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

Data as of 3/29/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	34.8 %	35.3 %	32.5 %	37.4 %
2	G1 EXECUTION SERVICES, LLC	23.1 %	24.2 %	19.4 %	11.9 %
3	VIRTU AMERICAS LLC	14.8 %	14.2 %	17.4 %	15.1 %
4	TWO SIGMA SECURITIES	13.9 %	13.8 %	14.4 %	10.9 %
5	UBS SECURITIES	13.4 %	12.5 %	16.4 %	20.9 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>78.8 %</b>	<b>19.3 %</b>	<b>1.9 %</b>

### AMEX Equities

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

Data as of 3/29/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	39 %	39.3 %	33 %	37.6 %
2	G1 EXECUTION SERVICES, LLC	23.5 %	23.8 %	19.9 %	22.1 %
3	VIRTU AMERICAS LLC	12.7 %	12.7 %	16.3 %	7.6 %
4	TWO SIGMA SECURITIES	12.7 %	12.3 %	15.4 %	19.5 %
5	UBS SECURITIES	12 %	11.9 %	15.4 %	10.4 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>91.9 %</b>	<b>4.9 %</b>	<b>3.2 %</b>

## NASDAQ Equities

### Top Venues Percentage of Non-Directed Orders

Data as of 3/29/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL SECURITIES LLC	32 %	32.1 %	31.6 %	33 %
2	G1 EXECUTION SERVICES, LLC	19.6 %	19.5 %	21 %	12.5 %
3	VIRTU AMERICAS LLC	16.9 %	16.9 %	16.6 %	19.5 %
4	TWO SIGMA SECURITIES	16.7 %	17 %	15.7 %	15.4 %
5	UBS SECURITIES	14.7 %	14.5 %	15.2 %	17.6 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>77.4 %</b>	<b>20 %</b>	<b>2.6 %</b>

## Options

### Top Venues Percentage of Non-Directed Orders

Data as of 3/29/2019

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CBOE BZX EXCHANGE	28.4 %	6.1 %	41 %	0 %
2	CBOE OPTIONS EXCHANGE	16.8 %	33.5 %	9.9 %	11.1 %
3	NASDAQ OMX PHLX	13.6 %	26.5 %	9.2 %	0.9 %
4	NASDAQ EXCHANGE	10.7 %	0.4 %	16.3 %	0 %
5	BOSTON OPTION EXCHANGE	9.1 %	17.9 %	6 %	0 %
6	NYSE ARCA EXCHANGE	5.7 %	0.7 %	8.4 %	0 %
7	NYSE AMERICAN EXCHANGE	5.6 %	4.1 %	2.1 %	47.8 %
8	INTERNATIONAL SECURITIES EXCHANGE	3.7 %	1 %	1.3 %	40.3 %
<b>Summary Statistics</b>		<b>100 %</b>	<b>28.7 %</b>	<b>64.9 %</b>	<b>6.4 %</b>

Order Routing data supplied by Pershing LLC.