



3rd Quarter 2018
SEC Rule 606

FIRST ALLIED SECURITIES INC

NYSE Equities

Top Venues Percentage of Non-Directed Orders

Data as of 9/28/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL DERIVATIVES GROUP	32.1 %	32.7 %	26.9 %	46.6 %
2	G1 EXECUTION SERVICES, LLC	19 %	19.7 %	19 %	1.7 %
3	VIRTU AMERICAS LLC	18.8 %	18.2 %	21.3 %	19.1 %
4	UBS SECURITIES	17.2 %	15.8 %	22.8 %	17.8 %
5	TWO SIGMA SECURITIES	12.9 %	13.6 %	10 %	10.9 %
Summary Statistics		100 %	78.7 %	18.2 %	3.1 %

AMEX Equities

Top Venues Percentage of Non-Directed Orders

Data as of 9/28/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL DERIVATIVES GROUP	32.2 %	32.7 %	26.3 %	33.6 %
2	UBS SECURITIES	24.1 %	24.5 %	18.8 %	25.5 %
3	VIRTU AMERICAS LLC	17.2 %	17.4 %	15.3 %	13.3 %
4	G1 EXECUTION SERVICES, LLC	17.2 %	16.6 %	27.1 %	2.2 %
5	TWO SIGMA SECURITIES	9.1 %	8.9 %	12.5 %	5.4 %
Summary Statistics		100 %	91.8 %	7.2 %	1 %

NASDAQ Equities

Top Venues Percentage of Non-Directed Orders

Data as of 9/28/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL DERIVATIVES GROUP	31.6 %	31.9 %	29.9 %	34.6 %
2	G1 EXECUTION SERVICES, LLC	19.9 %	20.9 %	16.7 %	1.3 %
3	VIRTU AMERICAS LLC	19 %	18.3 %	21.3 %	30.5 %
4	UBS SECURITIES	16.6 %	15.9 %	20.1 %	15.8 %
5	TWO SIGMA SECURITIES	12.8 %	12.9 %	12.1 %	10.4 %
Summary Statistics		100 %	82.4 %	15.4 %	2.2 %

Options

Top Venues Percentage of Non-Directed Orders

Data as of 9/28/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CBOE BZX EXCHANGE	27.4 %	5.9 %	39 %	0 %
2	NASDAQ OMX PHLX	15.7 %	34.6 %	10 %	4.2 %
3	BOSTON OPTION EXCHANGE	13.1 %	25.1 %	10.3 %	0 %
4	NASDAQ EXCHANGE	11.1 %	0.8 %	16.4 %	0 %
5	CBOE OPTIONS EXCHANGE	8.3 %	12.6 %	7 %	6.3 %
6	INTERNATIONAL SECURITIES EXCHANGE	7.8 %	1.2 %	1.3 %	77.8 %
7	NYSE ARCA EXCHANGE	6.2 %	1.2 %	8.9 %	0 %
8	NYSE AMERICAN EXCHANGE	3.1 %	2.5 %	2.3 %	10.9 %
Summary Statistics		100 %	25.1 %	66.4 %	8.5 %