



**Fourth Quarter 2018
SEC Rule 606**

FIRST ALLIED SECURITIES INC

NYSE Equities

Top Venues Percentage of Non-Directed Orders

Data as of 12/31/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL DERIVATIVES GROUP	33.5 %	33.2 %	32.5 %	47.6 %
2	G1 EXECUTION SERVICES, LLC	19.1 %	19.9 %	16.8 %	1.9 %
3	VIRTU AMERICAS LLC	17.6 %	17.3 %	19 %	19.9 %
4	UBS SECURITIES	15.2 %	14.5 %	19.5 %	16.3 %
5	TWO SIGMA SECURITIES	14.6 %	15 %	12.3 %	12 %
Summary Statistics		100 %	84.8 %	12.8 %	2.4 %

AMEX Equities

Top Venues Percentage of Non-Directed Orders

Data as of 12/31/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL DERIVATIVES GROUP	37.3 %	37.3 %	35.2 %	38.7 %
2	G1 EXECUTION SERVICES, LLC	18.1 %	18.2 %	21.7 %	1.1 %
3	UBS SECURITIES	17 %	17.2 %	9.5 %	23.5 %
4	VIRTU AMERICAS LLC	15.3 %	15.2 %	17.5 %	15.2 %
5	TWO SIGMA SECURITIES	12.3 %	12 %	16.2 %	17 %
Summary Statistics		100 %	94.9 %	3.4 %	1.7 %

NASDAQ Equities

Top Venues Percentage of Non-Directed Orders

Data as of 12/31/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CITADEL DERIVATIVES GROUP	32.9 %	32.6 %	35.2 %	31.6 %
2	G1 EXECUTION SERVICES, LLC	19.4 %	20.1 %	16.3 %	3.1 %
3	VIRTU AMERICAS LLC	17.2 %	17.1 %	18 %	21.3 %
4	TWO SIGMA SECURITIES	15.5 %	15.4 %	14.4 %	24.2 %
5	UBS SECURITIES	14.9 %	14.8 %	16.1 %	14.1 %
Summary Statistics		100 %	88.4 %	9.8 %	1.8 %

Options

Top Venues Percentage of Non-Directed Orders

Data as of 12/31/2018

	Venue	Total	Total Market Orders	Total Limit Orders	Total Other Orders
1	CBOE BZX EXCHANGE	27.3 %	5.2 %	39.4 %	0 %
2	NASDAQ OMX PHLX	15.1 %	25.9 %	11.2 %	3.5 %
3	CBOE OPTIONS EXCHANGE	12.7 %	22.4 %	8.5 %	11 %
4	NASDAQ EXCHANGE	10.7 %	0.8 %	16.1 %	0 %
5	BOSTON OPTION EXCHANGE	9.8 %	20.1 %	6 %	0 %
6	NYSE ARCA EXCHANGE	5.4 %	0.9 %	7.9 %	0 %
7	NYSE AMERICAN EXCHANGE	5.4 %	4.7 %	2.5 %	43 %
8	INTERNATIONAL SECURITIES EXCHANGE	4.4 %	2 %	2.2 %	42.5 %
Summary Statistics		100 %	29.1 %	65.4 %	5.5 %

Disclosure of Order Routing Practices web site supported by Pershing LLC