

# Report for SEC Rule 606 Report Disclosure 4th Quarter, 2018

<b>NYSE Listed Securities</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
UBS Capital Markets	40.00%	46.64%	56.10%	0.79%
Virtu Financial, Inc.	21.54%	33.20%	20.49%	0.00%
Stockcross Financial Services, Inc.	19.83%	0.00%	0.00%	91.34%
Citadel Securities, LLC	13.16%	17.00%	16.10%	0.79%
Speedroute, LLC	3.76%	3.16%	6.83%	0.00%
Oppenheimer & Co., Inc.	1.54%	0.00%	0.00%	7.09%
Nasdaq OMX	0.17%	0.00%	0.49%	0.00%
Total Orders	100.00%	43.25%	35.04%	21.71%

\* Orders for which customer requests special handling

<b>NASDAQ Listed Securities</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
UBS Capital Markets	37.09%	37.44%	44.36%	4.42%
Virtu Financial, Inc.	36.39%	41.67%	31.82%	2.52%
Citadel Securities, LLC	14.36%	14.92%	16.07%	1.89%
Stockcross Financial Services, Inc.	6.10%	0.00%	0.00%	91.17%
Speedroute, LLC	5.95%	5.98%	7.37%	0.00%
Nasdaq OMX	0.11%	0.00%	0.39%	0.00%
Total Orders	100.00%	66.37%	26.94%	6.69%

\* Orders for which customer requests special handling

<b>Securities Listed on NYSE MKT/Regional Exchanges</b>				
<b>Orders routed to:</b>	<b>Non-Directed Orders</b>	<b>Market Orders</b>	<b>Limit Orders</b>	<b>Other Orders*</b>
UBS Capital Markets	58.18%	56.45%	81.33%	0.00%
Stockcross Financial Services, Inc.	15.76%	0.00%	0.00%	92.86%
Citadel Securities, LLC	15.15%	24.19%	10.67%	7.14%
Virtu Financial, Inc.	7.27%	14.52%	4.00%	0.00%
Speedroute, LLC	3.64%	4.84%	4.00%	0.00%
Total Orders	100.00%	37.58%	45.45%	16.97%

\* Orders for which customer requests special handling

<b>Exchange-Listed Options</b>
<b>No Covered Orders</b>

[Material Aspects of Relationships with Route Venues](#)

