

SEC Rule 606 Report - A G P / Alliance Global Partners [EURP] - 3rd Qtr, 2018

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

Securities Listed on New York Stock Exchange Euronext

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	0.00	0.00	100.00	54	0	0	54	0	0.00	0.00	100.00
Electronic Brokerage Syst	100.00	0.00	0.00	100.00	54	0	0	54	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Securities Listed on The Nasdaq Stock Market

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	0.00	0.00	100.00	117	0	0	117	0	0.00	0.00	100.00
Nasdaq Execution Services	84.62	0.00	0.00	84.62	99	0	0	99	0	0.00	0.00	100.00
Euro Pacific Capital, Inc	8.55	0.00	0.00	8.55	10	0	0	10	0	0.00	0.00	100.00
Electronic Brokerage Syst	6.84	0.00	0.00	6.84	8	0	0	8	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Securities Listed on NYSE MKT or other National Securities Exchange

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	0.00	0.00	100.00	9	0	0	9	0	0.00	0.00	100.00
Electronic Brokerage Syst	100.00	0.00	0.00	100.00	9	0	0	9	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Exchange-Listed Options No Covered Orders

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

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*Unknown is part of Other.

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SEC Rule 606 Report - A G P / Alliance Global Partners [ALNC] - 3rd Qtr, 2018

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

Securities Listed on New York Stock Exchange Euronext

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	71.41	8.27	20.32	3,036	2,168	251	617	0	71.41	8.27	20.32
A G P / Alliance Global Partners	22.99	31.23	0.00	3.40	698	677	0	21	0	96.99	0.00	3.01
Citadel Securities	22.43	27.91	25.90	1.78	681	605	65	11	0	88.84	9.54	1.62
VIRTU Americas LLC	19.47	24.54	23.11	0.16	591	532	58	1	0	90.02	9.81	0.17
Electronic Brokerage Syst	17.89	0.00	0.00	88.01	543	0	0	543	0	0.00	0.00	100.00
G1 Execution Services	5.80	7.56	4.78	0.00	176	164	12	0	0	93.18	6.82	0.00
Bats Y Exchange	2.44	3.41	0.00	0.00	74	74	0	0	0	100.00	0.00	0.00
New York Stock Exchange	2.17	0.05	25.90	0.00	66	1	65	0	0	1.52	98.48	0.00
Two Sigma Securities, LLC	2.11	2.77	1.20	0.16	64	60	3	1	0	93.75	4.69	1.56
Euro Pacific Capital, Inc	1.81	2.54	0.00	0.00	55	55	0	0	0	100.00	0.00	0.00
DirectEdge ECN (EDGX)	0.92	0.00	11.16	0.00	28	0	28	0	0	0.00	100.00	0.00

100.00% of total customer orders were non-directed orders.

Securities Listed on The Nasdaq Stock Market

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	77.01	8.47	14.53	3,201	2,465	271	465	0	77.01	8.47	14.53
A G P / Alliance Global Partners	38.33	45.68	0.74	21.29	1,227	1,126	2	99	0	91.77	0.16	8.07
Citadel Securities	20.09	22.64	25.46	3.44	643	558	69	16	0	86.78	10.73	2.49
VIRTU Americas LLC	16.59	19.35	19.56	0.22	531	477	53	1	0	89.83	9.98	0.19
Electronic Brokerage Syst	4.69	0.00	0.00	32.26	150	0	0	150	0	0.00	0.00	100.00
G1 Execution Services	4.56	5.80	1.11	0.00	146	143	3	0	0	97.95	2.05	0.00
Nasdaq Execution Services	3.12	0.00	0.37	21.29	100	0	1	99	0	0.00	1.00	99.00
DirectEdge ECN (EDGX)	2.59	0.00	30.63	0.00	83	0	83	0	0	0.00	100.00	0.00
RBC Capital Markets Corpo	2.41	0.00	0.00	16.56	77	0	0	77	0	0.00	0.00	100.00
Two Sigma Securities, LLC	2.16	2.27	4.80	0.00	69	56	13	0	0	81.16	18.84	0.00
Euro Pacific Capital, Inc	1.66	2.15	0.00	0.00	53	53	0	0	0	100.00	0.00	0.00

100.00% of total customer orders were non-directed orders.

Securities Listed on NYSE MKT or other National Securities Exchange

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	86.14	9.53	4.33	577	497	55	25	0	86.14	9.53	4.33
Citadel Securities	40.73	45.07	18.18	4.00	235	224	10	1	0	95.32	4.26	0.43
VIRTU Americas LLC	29.29	30.18	23.64	24.00	169	150	13	6	0	88.76	7.69	3.55
G1 Execution Services	9.71	11.07	1.82	0.00	56	55	1	0	0	98.21	1.79	0.00
A G P / Alliance Global Partners	4.51	4.23	9.09	0.00	26	21	5	0	0	80.77	19.23	0.00
Bats Y Exchange	3.99	4.43	1.82	0.00	23	22	1	0	0	95.65	4.35	0.00
Two Sigma Securities, LLC	3.29	3.22	5.45	0.00	19	16	3	0	0	84.21	15.79	0.00
Electronic Brokerage Syst	2.95	0.00	0.00	68.00	17	0	0	17	0	0.00	0.00	100.00
Nasdaq Option Market	1.91	0.00	20.00	0.00	11	0	11	0	0	0.00	100.00	0.00
Euro Pacific Capital, Inc	1.39	1.61	0.00	0.00	8	8	0	0	0	100.00	0.00	0.00
Archipelago LLC	1.21	0.00	12.73	0.00	7	0	7	0	0	0.00	100.00	0.00

100.00% of total customer orders were non-directed orders.

Exchange-Listed Options

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	4.63	95.37	0.00	605	28	577	0	0	4.63	95.37	0.00
Philadelphia Exch	27.60	28.57	27.56	0.00	167	8	159	0	0	4.79	95.21	0.00
Chicago Board Options Exchange	17.02	50.00	15.42	0.00	103	14	89	0	0	13.59	86.41	0.00
ISE Gemini	15.70	0.00	16.46	0.00	95	0	95	0	0	0.00	100.00	0.00
Nasdaq Option Market	11.24	0.00	11.79	0.00	68	0	68	0	0	0.00	100.00	0.00
NYSE Arca	9.42	0.00	9.88	0.00	57	0	57	0	0	0.00	100.00	0.00
MIAX Options Exchange	6.78	3.57	6.93	0.00	41	1	40	0	0	2.44	97.56	0.00
Boston Options Exchange	4.79	10.71	4.51	0.00	29	3	26	0	0	10.34	89.66	0.00
BATS Stock Exchange	3.97	0.00	4.16	0.00	24	0	24	0	0	0.00	100.00	0.00
DirectEdge ECN (EDGX)	2.31	7.14	2.08	0.00	14	2	12	0	0	14.29	85.71	0.00
NYSE MKT	1.16	0.00	1.21	0.00	7	0	7	0	0	0.00	100.00	0.00

100.00% of total customer orders were non-directed orders.

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

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