

SEC Rule 606 Report - A G P / Alliance Global Partners [ALNC] - 4th 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	84.80	4.46	10.74	4,974	4,218	222	534	0	84.80	4.46	10.74
Citadel Securities	41.17	46.85	23.42	3.75	2,048	1,976	52	20	0	96.48	2.54	0.98
G1 Execution Services	15.02	17.43	5.41	0.00	747	735	12	0	0	98.39	1.61	0.00
VIRTU Americas LLC	13.59	15.20	8.56	3.00	676	641	19	16	0	94.82	2.81	2.37
A G P / Alliance Global Partners	12.63	14.75	0.00	1.12	628	622	0	6	0	99.04	0.00	0.96
Electronic Brokerage Syst	8.99	0.00	0.00	83.71	447	0	0	447	0	0.00	0.00	100.00
Two Sigma Securities, LLC	4.36	5.10	0.90	0.00	217	215	2	0	0	99.08	0.92	0.00
New York Stock Exchange	1.91	0.00	42.34	0.19	95	0	94	1	0	0.00	98.95	1.05
UBS Securities LLC	0.66	0.69	0.45	0.56	33	29	1	3	0	87.88	3.03	9.09
Nasdaq Option Market	0.46	0.00	10.36	0.00	23	0	23	0	0	0.00	100.00	0.00
Bloomberg Tradebook LLC	0.40	0.00	0.00	3.75	20	0	0	20	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	83.37	4.89	11.74	3,806	3,173	186	447	0	83.37	4.89	11.74
Citadel Securities	34.45	37.06	35.48	15.44	1,311	1,176	66	69	0	89.70	5.03	5.26
A G P / Alliance Global Partners	29.09	33.88	0.00	7.16	1,107	1,075	0	32	0	97.11	0.00	2.89
G1 Execution Services	10.69	12.10	12.37	0.00	407	384	23	0	0	94.35	5.65	0.00
VIRTU Americas LLC	10.69	11.88	11.29	2.01	407	377	21	9	0	92.63	5.16	2.21
RBCZ	5.33	0.00	0.00	45.41	203	0	0	203	0	0.00	0.00	100.00
Two Sigma Securities, LLC	3.91	4.57	2.15	0.00	149	145	4	0	0	97.32	2.68	0.00
Nasdaq Option Market	1.21	0.00	24.19	0.22	46	0	45	1	0	0.00	97.83	2.17
Electronic Brokerage Syst	1.18	0.00	0.00	10.07	45	0	0	45	0	0.00	0.00	100.00
Nasdaq Execution Services	1.18	0.00	0.00	10.07	45	0	0	45	0	0.00	0.00	100.00
Bloomberg Tradebook LLC	0.81	0.00	0.00	6.94	31	0	0	31	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	91.33	6.78	1.90	1,107	1,011	75	21	0	91.33	6.78	1.90
Citadel Securities	51.58	54.01	25.33	28.57	571	546	19	6	0	95.62	3.33	1.05
G1 Execution Services	17.98	18.69	13.33	0.00	199	189	10	0	0	94.97	5.03	0.00
VIRTU Americas LLC	17.62	18.20	6.67	28.57	195	184	5	6	0	94.36	2.56	3.08
Two Sigma Securities, LLC	5.60	5.84	2.67	4.76	62	59	2	1	0	95.16	3.23	1.61
A G P / Alliance Global Partners	2.71	2.67	0.00	14.29	30	27	0	3	0	90.00	0.00	10.00
DirectEdge ECN (EDGX)	0.99	0.00	14.67	0.00	11	0	11	0	0	0.00	100.00	0.00
UBS Securities LLC	0.90	0.59	4.00	4.76	10	6	3	1	0	60.00	30.00	10.00
Nasdaq Option Market	0.81	0.00	12.00	0.00	9	0	9	0	0	0.00	100.00	0.00
NYSE MKT	0.72	0.00	10.67	0.00	8	0	8	0	0	0.00	100.00	0.00
Archipelago LLC	0.72	0.00	10.67	0.00	8	0	8	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	50.68	49.09	0.24	1,259	638	618	3	0	50.68	49.09	0.24
Philadelphia Exch	27.01	25.08	28.64	100.00	340	160	177	3	0	47.06	52.06	0.88
Chicago Board Options Exchange	24.86	39.81	9.55	0.00	313	254	59	0	0	81.15	18.85	0.00
ISE Gemini	10.09	2.19	18.28	0.00	127	14	113	0	0	11.02	88.98	0.00
Archipelago LLC	8.10	1.72	14.72	0.00	102	11	91	0	0	10.78	89.22	0.00
Nasdaq Option Market	7.70	0.63	15.05	0.00	97	4	93	0	0	4.12	95.88	0.00
MIAX Options Exchange	7.07	8.78	5.34	0.00	89	56	33	0	0	62.92	37.08	0.00
Boston Options Exchange	5.80	9.72	1.78	0.00	73	62	11	0	0	84.93	15.07	0.00
NYSE MKT	3.49	6.27	0.65	0.00	44	40	4	0	0	90.91	9.09	0.00
BATS Options Exchange	2.94	1.10	4.85	0.00	37	7	30	0	0	18.92	81.08	0.00
MIAX PEARL Exchange	2.94	4.70	1.13	0.00	37	30	7	0	0	81.08	18.92	0.00

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*Unknown is part of Other.