

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 30 Nov, 2017 at 19:59
Activity Date: 11/30/2017
Quarter Starting On: 10/01/2017

Exchange: ASE and All Other National Exchanges

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 539

Non-Directed Customer Orders as a Percentage of Total Customer Orders Having a Market Value Less Than \$200,000: 100.00%

Non-Directed Customer Orders That Were:

		Market		Limit		Other including "Not Held"	
		Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
		0.19%	1	10.39%	56	89.42%	482

Venue	Total Non-Directed Orders		Non-Directed Market Orders		Non-Directed Limit Orders		Non-Directed Other Orders	
	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
Archipelago Stock Exchange : ARCX	0.93%	5	0.00%	0	0.00%	0	0.93%	5
Citadel Securities LLC : CDRG	41.56%	224	0.19%	1	9.09%	49	32.28%	174
DASH FINANCIAL TECHNOLOGIES LLC : DFI	24.86%	134	0.00%	0	0.74%	4	24.12%	130
ESPOSITO SECURITIES, LLC : ESPO	12.80%	69	0.00%	0	0.00%	0	12.80%	69
GOLDMAN SACHS & CO. LLC : GSCO	18.18%	98	0.00%	0	0.00%	0	18.18%	98
GOLDMAN SACHS & CO. LLC : GSCS	1.67%	9	0.00%	0	0.56%	3	1.11%	6

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 4,152

Non-Directed Customer Orders as a Percentage of Total Customer Orders Having a Market Value Less Than \$200,000: 100.00%

Non-Directed Customer Orders That Were:

		Market		Limit		Other including "Not Held"	
		Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
		1.59%	66	2.77%	115	95.64%	3,971

Venue	Total Non-Directed Orders		Non-Directed Market Orders		Non-Directed Limit Orders		Non-Directed Other Orders	
	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
Archipelago Stock Exchange : ARCX	3.44%	143	0.00%	0	0.00%	0	3.44%	143
Citadel Securities LLC : CDRG	70.74%	2,937	1.59%	66	2.46%	102	66.69%	2,769
DASH FINANCIAL TECHNOLOGIES LLC : DFI	10.19%	423	0.00%	0	0.31%	13	9.87%	410
ESPOSITO SECURITIES, LLC : ESPO	7.97%	331	0.00%	0	0.00%	0	7.97%	331
GOLDMAN SACHS & CO. LLC : GSCO	6.58%	273	0.00%	0	0.00%	0	6.58%	273
GOLDMAN SACHS & CO. LLC : GSCS	1.08%	45	0.00%	0	0.00%	0	1.08%	45

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 13,267
 Non-Directed Customer Orders as a Percentage of Total Customer Orders Having a Market Value Less Than \$200,000: 100.00%

Non-Directed Customer Orders That Were:

	Market		Limit		Other including "Not Held"	
	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
	0.69%	91	1.75%	232	97.57%	12,944

Venue	Total Non-Directed Orders		Non-Directed Market Orders		Non-Directed Limit Orders		Non-Directed Other Orders	
	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
Archipelago Stock Exchange : ARCX	3.37%	447	0.00%	0	0.01%	1	3.36%	446
CLEARPOOL EXECUTION SERVICES, LLC :	0.02%	2	0.00%	0	0.00%	0	0.02%	2
Citadel Securities LLC : CDRG	58.88%	7,811	0.47%	63	1.37%	182	57.03%	7,566
DASH FINANCIAL TECHNOLOGIES LLC : DFI	17.19%	2,281	0.19%	25	0.34%	45	16.67%	2,211
ESPOSITO SECURITIES, LLC : ESPO	8.54%	1,133	0.00%	0	0.01%	1	8.53%	1,132
GOLDMAN SACHS & CO. LLC : GSCO	10.33%	1,371	0.00%	0	0.00%	0	10.33%	1,371
GOLDMAN SACHS & CO. LLC : GSCS	1.64%	218	0.01%	1	0.02%	3	1.61%	214
Citadel Securities LLC : CDRG	0.02%	2	0.02%	2	0.00%	0	0.00%	0
DASH FINANCIAL TECHNOLOGIES LLC : DFI	0.02%	2	0.00%	0	0.00%	0	0.02%	2

End of SEC Rule 606 - Order Routing Disclosure Report

<u>Route Venue</u>	<u>Primary Market</u>	<u>Order %</u>	<u>Market %</u>	<u>Limit %</u>	<u>Other %</u>
TOTAL	NASDAQ	100	47.09	42.64	10.27
GSCS	NASDAQ	54.97	18.54	85.27	96.21
DFIN	NASDAQ	36.99	70.13	9.31	0
CDRG	NASDAQ	5.58	10.46	1.32	0.93
CPEM	NASDAQ	1.1	0.87	1.61	0
NSDQ	NASDAQ	1.06	0	2.48	0
XPSE	NASDAQ	0.3	0	0.01	2.86
INTL	NASDAQ	0	0	0	0
ITG Global Cash	NASDAQ	0	0	0	0
MLCO	NASDAQ	0	0	0	0
TOTAL	NYSE	100	77.7	17.78	4.52
DFIN	NYSE	48.28	61.62	2.26	0
GSCS	NYSE	26.05	12.65	67.2	94.68
CDRG	NYSE	16.56	18.41	12.08	2.43
CPEM	NYSE	5.68	7.31	0	0
NSDQ	NYSE	3.21	0	18.07	0
XPSE	NYSE	0.2	0	0.4	2.89
INTL	NYSE	0	0	0	0
MLCO	NYSE	0	0	0	0
TOTAL	NYSE MKT or Regional Exchanges	100	1.19	98.8	0
DFIN	NYSE MKT or Regional Exchanges	87.73	43.04	88.27	0
GSCS	NYSE MKT or Regional Exchanges	11.15	22.58	11.01	70.75
CDRG	NYSE MKT or Regional Exchanges	0.86	34.38	0.46	29.25
NSDQ	NYSE MKT or Regional Exchanges	0.15	0	0.15	0
XPSE	NYSE MKT or Regional Exchanges	0.1	0	0.1	0

GSCS - Goldman Sachs & Co LLC

DFIN - Dash Financial Technologies LLC

CDRG - Citadel Securities LLC

CPEM - Clearpool