

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

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Activity Date: 03/31/2014
Quarter Starting On: 01/01/2014

Exchange: American / Regional Stock Exchange Securities (AMEX)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	1,099			
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
	23.29%	256	6.55%	72
			70.15%	771

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 Trading Services, Inc. : ARCA	6.73%	74	0.00%	0	2.09%	23	4.64%	51
Barclays Capital Inc./Le : LHMS	27.12%	298	0.27%	3	2.46%	27	24.39%	268
Citadel Securities LLC : CDRG	0.91%	10	0.91%	10	0.00%	0	0.00%	0
ESPOSITO SECURITIES, LLC : ESPO	13.01%	143	1.09%	12	0.55%	6	11.37%	125
Knight Capital Americas LLC : TRIM	1.46%	16	0.27%	3	0.00%	0	1.18%	13
UBS Securities LLC : UBSS	50.77%	558	20.75%	228	1.46%	16	28.57%	314

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	19,785			
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
	13.91%	2,753	1.69%	335
			84.39%	16,697

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	5.69%	1,126	0.00%	0	0.02%	4	5.67%	1,122
Archipelago Trading Services, Inc. : ARCA	37.04%	7,329	0.00%	0	1.07%	211	35.98%	7,118
Barclays Capital Inc./Le : LHMS	6.01%	1,189	0.02%	4	0.38%	76	5.61%	1,109
Citadel Securities LLC : CDEL	0.03%	6	0.00%	0	0.03%	6	0.00%	0
Citadel Securities LLC : CDRG	0.11%	22	0.08%	16	0.03%	6	0.00%	0
Direct Edge EDGA Exchange : EDGA	0.01%	1	0.00%	0	0.00%	0	0.01%	1

ESPOSITO SECURITIES, LLC : ESPO	7.30%	1,444	1.01%	199	0.05%	9	6.25%	1,236
Goldman Sachs Execution & Clearing, L.P. (S	0.01%	1	0.00%	0	0.00%	0	0.01%	1
Knight Capital Americas LLC : NITE	17.33%	3,429	1.47%	291	0.02%	3	15.85%	3,135
UBS Securities LLC : UBSS	26.47%	5,238	11.34%	2,243	0.10%	20	15.04%	2,975

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 42,251

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
21.04%	8,891	1.89%	800	77.06%	32,560

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	0.94%	398	0.00%	0	0.00%	2	0.94%	396
Archipelago Trading Services, Inc. : ARCA	8.53%	3,602	0.01%	3	0.54%	230	7.97%	3,369
Barclays Capital Inc./Le : LHMS	11.43%	4,828	0.11%	45	0.69%	291	10.63%	4,492
Citadel Securities LLC : CDRG	0.41%	174	0.34%	145	0.03%	13	0.04%	16
ESPOSITO SECURITIES, LLC : ESPO	14.06%	5,941	2.08%	879	0.17%	73	11.81%	4,989
Knight Capital Americas LLC : TRIM	17.52%	7,403	1.65%	697	0.02%	7	15.86%	6,699
UBS Securities LLC : UBSS	47.11%	19,905	16.86%	7,122	0.44%	184	29.82%	12,599

End of SEC Rule 606 - Order Routing Disclosure Report