

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 31 Mar, 2016 at 19:31
Activity Date: 03/31/2016
Quarter Starting On: 01/01/2016

Exchange: American / Regional Stock Exchange Securities (AMEX)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	849			
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
	20.97%	178	4.59%	39
			74.44%	632

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
Barclays Capital Inc./Le : LHMS	8.83%	75	0.12%	1	0.24%	2	8.48%	72
CLEARPOOL EXECUTION SERVICES, LLC :	0.82%	7	0.00%	0	0.00%	0	0.82%	7
Citadel Securities LLC : CDRG	57.83%	491	18.37%	156	4.36%	37	35.10%	298
ESPOSITO SECURITIES, LLC : ESPO	17.79%	151	2.47%	21	0.00%	0	15.31%	130
Goldman Sachs Execution & Clearing, L.P. : S	0.71%	6	0.00%	0	0.00%	0	0.71%	6
Goldman, Sachs & Co. : GSCO	12.49%	106	0.00%	0	0.00%	0	12.49%	106
MERRILL LYNCH, PIERCE, FENNER & SMITH	1.53%	13	0.00%	0	0.00%	0	1.53%	13

Exchange: BATS Stock Exchange Securities (BAT)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	8			
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
	25.00%	2	0.00%	0
			75.00%	6

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
Citadel Securities LLC : CDRG	100.00%	8	25.00%	2	0.00%	0	75.00%	6

Exchange: NASDAQ Stock Exchange Securities (NAS)

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

11,079

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:

Venue	Total Non-Directed Orders		Market		Limit		Other including "Not Held"	
	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
			10.69%	1,184	1.43%	158	87.89%	9,737
Archipelago Stock Exchange : ARCX	0.03%	3	0.00%	0	0.03%	3	0.00%	0
Barclays Capital Inc./Le : LHMS	14.71%	1,630	0.05%	5	0.06%	7	14.60%	1,618
CLEARPOOL EXECUTION SERVICES, LLC :	1.16%	128	0.00%	0	0.02%	2	1.14%	126
Citadel Securities LLC : CDRG	61.09%	6,768	9.86%	1,092	1.18%	131	50.05%	5,545
ESPOSITO SECURITIES, LLC : ESPO	7.55%	836	0.79%	87	0.04%	4	6.72%	745
Goldman Sachs Execution & Clearing, L.P. : S	0.02%	2	0.00%	0	0.00%	0	0.02%	2
Goldman, Sachs & Co. : GSCO	14.90%	1,651	0.00%	0	0.00%	0	14.90%	1,651
MERRILL LYNCH, PIERCE, FENNER & SMITH	0.45%	50	0.00%	0	0.00%	0	0.45%	50
Nasdaq Execution Services, LLC. : NSDQ	0.10%	11	0.00%	0	0.10%	11	0.00%	0

Exchange: New York Stock Exchange Securities (NYSE)

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

33,322

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:

Venue	Total Non-Directed Orders		Market		Limit		Other including "Not Held"	
	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders
			11.32%	3,771	2.59%	863	86.09%	28,688
ADCAP SECURITIES LLC : LAKE	0.00%	1	0.00%	0	0.00%	0	0.00%	1
Archipelago Stock Exchange : ARCX	0.07%	23	0.00%	0	0.06%	20	0.01%	3
Barclays Capital Inc./Le : LHMS	12.03%	4,007	0.04%	13	0.12%	39	11.87%	3,955
CLEARPOOL EXECUTION SERVICES, LLC :	0.32%	108	0.00%	0	0.00%	0	0.32%	108
Citadel Securities LLC : CDRG	62.00%	20,658	10.44%	3,479	2.33%	778	49.22%	16,401
ESPOSITO SECURITIES, LLC : ESPO	7.66%	2,552	0.84%	279	0.04%	12	6.79%	2,261
Goldman Sachs Execution & Clearing, L.P. : S	0.03%	11	0.00%	0	0.00%	0	0.03%	11
Goldman, Sachs & Co. : GSCO	17.59%	5,861	0.00%	0	0.00%	0	17.59%	5,861
MERRILL LYNCH, PIERCE, FENNER & SMITH	0.30%	99	0.00%	0	0.04%	12	0.26%	87

End of SEC Rule 606 - Order Routing Disclosure Report