

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 31 Mar, 2017 at 19:54
Activity Date: 03/31/2017
Quarter Starting On: 01/01/2017

Exchange: ASE and All Other National Exchanges

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	1,256																		
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:																			
	<table style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center;">Market</th> <th colspan="2" style="text-align: center;">Limit</th> <th colspan="2" style="text-align: center;">Other including "Not Held"</th> </tr> <tr> <th style="text-align: center;">Percentage</th> <th style="text-align: center;"># of Orders</th> <th style="text-align: center;">Percentage</th> <th style="text-align: center;"># of Orders</th> <th style="text-align: center;">Percentage</th> <th style="text-align: center;"># of Orders</th> </tr> <tr> <td style="text-align: center;">0.32%</td> <td style="text-align: center;">4</td> <td style="text-align: center;">3.03%</td> <td style="text-align: center;">38</td> <td style="text-align: center;">96.66%</td> <td style="text-align: center;">1,214</td> </tr> </table>	Market		Limit		Other including "Not Held"		Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	0.32%	4	3.03%	38	96.66%	1,214
Market		Limit		Other including "Not Held"															
Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders														
0.32%	4	3.03%	38	96.66%	1,214														

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	4.54%	57	0.00%	0	0.00%	0	4.54%	57
CLEARPOOL EXECUTION SERVICES, LLC :	20.94%	263	0.00%	0	0.08%	1	20.86%	262
Citadel Securities LLC : CDRG	44.98%	565	0.32%	4	2.31%	29	42.36%	532
ESPOSITO SECURITIES, LLC : ESPO	11.94%	150	0.00%	0	0.08%	1	11.86%	149
GOLDMAN, SACHS & CO. : GSCS	4.62%	58	0.00%	0	0.56%	7	4.06%	51
Goldman, Sachs & Co. : GSCO	12.58%	158	0.00%	0	0.00%	0	12.58%	158
INTL FCSTONE FINANCIAL INC. : INTL	0.40%	5	0.00%	0	0.00%	0	0.40%	5

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	12,197																		
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:																			
	<table style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center;">Market</th> <th colspan="2" style="text-align: center;">Limit</th> <th colspan="2" style="text-align: center;">Other including "Not Held"</th> </tr> <tr> <th style="text-align: center;">Percentage</th> <th style="text-align: center;"># of Orders</th> <th style="text-align: center;">Percentage</th> <th style="text-align: center;"># of Orders</th> <th style="text-align: center;">Percentage</th> <th style="text-align: center;"># of Orders</th> </tr> <tr> <td style="text-align: center;">2.84%</td> <td style="text-align: center;">347</td> <td style="text-align: center;">0.38%</td> <td style="text-align: center;">46</td> <td style="text-align: center;">96.78%</td> <td style="text-align: center;">11,804</td> </tr> </table>	Market		Limit		Other including "Not Held"		Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	2.84%	347	0.38%	46	96.78%	11,804
Market		Limit		Other including "Not Held"															
Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders														
2.84%	347	0.38%	46	96.78%	11,804														

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	9.12%	1,112	0.01%	1	0.00%	0	9.11%	1,111
CLEARPOOL EXECUTION SERVICES, LLC :	17.18%	2,096	0.00%	0	0.19%	23	17.00%	2,073
Citadel Securities LLC : CDRG	59.47%	7,254	2.82%	344	0.17%	21	56.48%	6,889
ESPOSITO SECURITIES, LLC : ESPO	7.51%	916	0.00%	0	0.00%	0	7.51%	916
GOLDMAN, SACHS & CO. : GSCS	1.19%	145	0.02%	2	0.02%	2	1.16%	141

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:								37,414	
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
			0.22%	81	0.84%	315		98.94%	37,018

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	9.34%	3,495	0.01%	2	0.01%	4	9.33%	3,489
CLEARPOOL EXECUTION SERVICES, LLC :	15.92%	5,956	0.01%	3	0.11%	43	15.80%	5,910
Citadel Securities LLC : CDRG	55.17%	20,641	0.20%	76	0.60%	223	54.37%	20,342
ESPOSITO SECURITIES, LLC : ESPO	10.15%	3,798	0.00%	0	0.02%	7	10.13%	3,791
GOLDMAN, SACHS & CO. : GSCS	1.03%	386	0.00%	0	0.10%	38	0.93%	348
Goldman, Sachs & Co. : GSCO	8.37%	3,131	0.00%	0	0.00%	0	8.37%	3,131
CLEARPOOL EXECUTION SERVICES, LLC :	0.02%	7	0.00%	0	0.00%	0	0.02%	7

End of SEC Rule 606 - Order Routing Disclosure Report