

# fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 30 Sep, 2014 at 14:53  
Activity Date: 09/30/2014  
Quarter Starting On: 07/01/2014

## Exchange: American / Regional Stock Exchange Securities (AMEX)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	933																		
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;">22.72%</td> <td style="text-align: center;">212</td> <td style="text-align: center;">1.71%</td> <td style="text-align: center;">16</td> <td style="text-align: center;">75.56%</td> <td style="text-align: center;">705</td> </tr> </table>	Market		Limit		Other including "Not Held"		Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders	22.72%	212	1.71%	16	75.56%	705
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Percentage	# of Orders	Percentage	# of Orders	Percentage	# of Orders														
22.72%	212	1.71%	16	75.56%	705														

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	20.36%	190	0.75%	7	0.75%	7	18.86%	176
Citadel Securities LLC : CDRG	22.29%	208	10.18%	95	0.21%	2	11.90%	111
ESPOSITO SECURITIES, LLC : ESPO	17.90%	167	2.14%	20	0.21%	2	15.54%	145
Goldman Sachs Execution & Clearing, L.P. : S	4.50%	42	0.11%	1	0.00%	0	4.39%	41
Knight Capital Americas LLC : TRIM	8.57%	80	1.61%	15	0.00%	0	6.97%	65
Pershing LLC : PERX	2.14%	20	0.00%	0	0.00%	0	2.14%	20
UBS Securities LLC : UBSS	24.22%	226	7.93%	74	0.54%	5	15.76%	147

## Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	14,083																		
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:																			
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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	0.50%	71	0.01%	1	0.13%	19	0.36%	51
Barclays Capital Inc./Le : LHMS	10.05%	1,415	0.21%	30	0.41%	58	9.42%	1,327
Citadel Securities LLC : CDRG	28.86%	4,065	6.93%	976	0.61%	86	21.32%	3,003
ESPOSITO SECURITIES, LLC : ESPO	9.29%	1,309	1.16%	163	0.02%	3	8.12%	1,143
Goldman Sachs Execution & Clearing, L.P. : S	2.61%	368	0.06%	9	0.06%	8	2.49%	351

INSTINET, LLC : INCA	0.09%	13	0.00%	0	0.00%	0	0.09%	13
Knight Capital Americas LLC : NITE	14.27%	2,009	2.12%	299	0.01%	2	12.13%	1,708
Pershing LLC : PERX	11.47%	1,616	0.45%	63	0.07%	10	10.96%	1,543
UBS Securities LLC : UBSS	22.84%	3,217	5.01%	706	0.17%	24	17.66%	2,487

**Exchange: New York Stock Exchange Securities (NYSE)**

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 43,440

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
	17.18%	7,462	1.84%	801	80.98%	35,177

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	0.48%	209	0.02%	9	0.05%	21	0.41%	179
Barclays Capital Inc./Le : LHMS	12.27%	5,329	0.23%	98	0.62%	268	11.42%	4,963
Citadel Securities LLC : CDRG	26.87%	11,671	7.75%	3,366	0.70%	303	18.42%	8,002
ESPOSITO SECURITIES, LLC : ESPO	12.10%	5,256	1.55%	673	0.07%	30	10.48%	4,553
Goldman Sachs Execution & Clearing, L.P. : S	2.44%	1,062	0.03%	14	0.03%	11	2.39%	1,037
INSTINET, LLC : INCA	0.05%	21	0.00%	0	0.00%	0	0.05%	21
Knight Capital Americas LLC : TRIM	13.64%	5,926	1.88%	816	0.00%	0	11.76%	5,110
Pershing LLC : PERX	6.02%	2,616	0.31%	136	0.00%	2	5.70%	2,478
UBS Securities LLC : UBSS	26.13%	11,350	5.41%	2,350	0.38%	166	20.34%	8,834

**End of SEC Rule 606 - Order Routing Disclosure Report**