

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 29 Sep, 2016 at 19:38
Activity Date: 09/29/2016
Quarter Starting On: 07/01/2016

Exchange: ASE and All Other National Exchanges

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	795																				
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> <td style="width: 25%;"></td> <td style="width: 25%; text-align: center;">Market</td> <td style="width: 25%; text-align: center;">Limit</td> <td style="width: 25%; text-align: center;">Other including "Not Held"</td> </tr> <tr> <td></td> <td style="text-align: center;">Percentage</td> <td style="text-align: center;"># of Orders</td> <td style="text-align: center;">Percentage</td> </tr> <tr> <td></td> <td style="text-align: center;">0.50%</td> <td style="text-align: center;">4</td> <td style="text-align: center;">5.16%</td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">41</td> <td style="text-align: center;">94.34%</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">750</td> </tr> </table>		Market	Limit	Other including "Not Held"		Percentage	# of Orders	Percentage		0.50%	4	5.16%			41	94.34%				750
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	Percentage	# of Orders	Percentage																		
	0.50%	4	5.16%																		
		41	94.34%																		
			750																		

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	0.25%	2	0.00%	0	0.00%	0	0.25%	2
Barclays Capital Inc./Le : LEHM	11.95%	95	0.00%	0	0.00%	0	11.95%	95
CLEARPOOL EXECUTION SERVICES, LLC :	1.01%	8	0.00%	0	0.00%	0	1.01%	8
Citadel Securities LLC : CDRG	49.43%	393	0.50%	4	4.65%	37	44.28%	352
ESPOSITO SECURITIES, LLC : ESPO	15.47%	123	0.00%	0	0.13%	1	15.35%	122
GOLDMAN, SACHS & CO. : GSCS	9.43%	75	0.00%	0	0.38%	3	9.06%	72
Goldman, Sachs & Co. : GSCO	12.45%	99	0.00%	0	0.00%	0	12.45%	99

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	11,192																				
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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	Percentage	# of Orders	Percentage																		
	1.03%	115	1.07%																		
		120	97.90%																		
			10,957																		

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	0.34%	38	0.01%	1	0.00%	0	0.33%	37
Barclays Capital Inc./Le : LEHM	18.59%	2,081	0.03%	3	0.04%	5	18.52%	2,073
CLEARPOOL EXECUTION SERVICES, LLC :	2.23%	250	0.02%	2	0.00%	0	2.22%	248
Citadel Securities LLC : CDRG	52.15%	5,837	0.96%	108	0.86%	96	50.33%	5,633
ESPOSITO SECURITIES, LLC : ESPO	6.69%	749	0.00%	0	0.00%	0	6.69%	749

GOLDMAN, SACHS & CO. : GSCS	3.39%	379	0.01%	1	0.17%	19	3.21%	359
Goldman, Sachs & Co. : GSCO	16.60%	1,858	0.00%	0	0.00%	0	16.60%	1,858

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	33,050			
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
	1.08%	357	1.67%	552
			97.25%	32,141

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	0.22%	73	0.00%	0	0.00%	1	0.22%	72
Barclays Capital Inc./Le : LEHM	14.87%	4,916	0.01%	2	0.23%	77	14.64%	4,837
CLEARPOOL EXECUTION SERVICES, LLC :	0.83%	274	0.01%	2	0.00%	0	0.82%	272
Citadel Securities LLC : CDRG	53.38%	17,642	1.05%	346	1.37%	453	50.96%	16,843
ESPOSITO SECURITIES, LLC : ESPO	8.76%	2,896	0.01%	3	0.01%	4	8.74%	2,889
GOLDMAN, SACHS & CO. : GSCS	3.56%	1,175	0.01%	4	0.05%	17	3.49%	1,154
Goldman, Sachs & Co. : GSCO	18.36%	6,067	0.00%	0	0.00%	0	18.36%	6,067
MERRILL LYNCH, PIERCE, FENNER & SMITH	0.02%	6	0.00%	0	0.00%	0	0.02%	6
Citadel Securities LLC : CDRG	0.00%	1	0.00%	0	0.00%	0	0.00%	1

End of SEC Rule 606 - Order Routing Disclosure Report