

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 29 Sep, 2017 at 20:19
Activity Date: 09/29/2017
Quarter Starting On: 07/01/2017

Exchange: ASE and All Other National Exchanges

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	897			
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
	6.13%	55	1.90%	17
			91.97%	825

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
CLEARPOOL EXECUTION SERVICES, LLC :	5.24%	47	0.00%	0	0.22%	2	5.02%	45
Citadel Securities LLC : CDRG	69.57%	624	4.24%	38	1.67%	15	63.66%	571
DASH FINANCIAL TECHNOLOGIES LLC : DFI	8.70%	78	1.45%	13	0.00%	0	7.25%	65
ESPOSITO SECURITIES, LLC : ESPO	7.13%	64	0.22%	2	0.00%	0	6.91%	62
GOLDMAN SACHS & CO. LLC : GSCO	0.56%	5	0.00%	0	0.00%	0	0.56%	5
GOLDMAN SACHS & CO. LLC : GSCS	8.81%	79	0.22%	2	0.00%	0	8.58%	77

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	8,106			
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
	4.43%	359	0.74%	60
			94.83%	7,687

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	0.35%	28	0.02%	2	0.00%	0	0.32%	26
CLEARPOOL EXECUTION SERVICES, LLC :	2.75%	223	0.02%	2	0.07%	6	2.65%	215
Citadel Securities LLC : CDRG	83.19%	6,743	3.24%	263	0.43%	35	79.51%	6,445
DASH FINANCIAL TECHNOLOGIES LLC : DFI	6.55%	531	0.80%	65	0.11%	9	5.64%	457
ESPOSITO SECURITIES, LLC : ESPO	3.49%	283	0.23%	19	0.05%	4	3.21%	260
GOLDMAN SACHS & CO. LLC : GSCO	0.35%	28	0.00%	0	0.00%	0	0.35%	28

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	26,431			
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
	4.83%	1,277	1.04%	276
			94.12%	24,878

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	0.03%	8	0.00%	0	0.00%	0	0.03%	8
CLEARPOOL EXECUTION SERVICES, LLC :	3.48%	919	0.04%	10	0.11%	30	3.33%	879
Citadel Securities LLC : CDRG	79.00%	20,880	3.31%	874	0.62%	165	75.07%	19,841
DASH FINANCIAL TECHNOLOGIES LLC : DFI	7.95%	2,101	1.20%	316	0.03%	9	6.72%	1,776
ESPOSITO SECURITIES, LLC : ESPO	3.34%	883	0.14%	37	0.02%	4	3.19%	842
GOLDMAN SACHS & CO. LLC : GSCO	0.74%	196	0.00%	0	0.00%	0	0.74%	196
GOLDMAN SACHS & CO. LLC : GSCS	5.45%	1,441	0.15%	40	0.26%	68	5.04%	1,333
MERRILL LYNCH, PIERCE, FENNER & SMITH	0.00%	1	0.00%	0	0.00%	0	0.00%	1
Citadel Securities LLC : CDRG	0.00%	1	0.00%	0	0.00%	0	0.00%	1
DASH FINANCIAL TECHNOLOGIES LLC : DFI	0.00%	1	0.00%	0	0.00%	0	0.00%	1

End of SEC Rule 606 - Order Routing Disclosure Report