

# fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 31 Dec, 2014 at 14:47  
Activity Date: 12/31/2014  
Quarter Starting On: 10/01/2014

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

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	1,272			
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
	18.55%	236	5.58%	71
			75.86%	965

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	3.54%	45	0.00%	0	0.79%	10	2.75%	35
Barclays Capital Inc./Le : LHMS	15.02%	191	0.08%	1	1.10%	14	13.84%	176
Citadel Securities LLC : CDRG	17.69%	225	4.01%	51	1.57%	20	12.11%	154
ESPOSITO SECURITIES, LLC : ESPO	17.69%	225	2.04%	26	0.86%	11	14.78%	188
Goldman Sachs Execution & Clearing, L.P. : S	12.03%	153	0.16%	2	0.79%	10	11.08%	141
INSTINET, LLC : INCA	1.42%	18	0.00%	0	0.00%	0	1.42%	18
Knight Capital Americas LLC : TRIM	15.96%	203	6.21%	79	0.24%	3	9.51%	121
Pershing LLC : PERX	0.63%	8	0.00%	0	0.16%	2	0.47%	6
UBS Securities LLC : UBSS	16.04%	204	6.05%	77	0.08%	1	9.91%	126

## Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	14,902			
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
	10.84%	1,615	2.07%	309
			87.09%	12,978

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	0.95%	141	0.00%	0	0.22%	33	0.72%	108
Barclays Capital Inc./Le : LHMS	10.05%	1,497	0.09%	13	0.22%	33	9.74%	1,451
Citadel Securities LLC : CDRG	27.06%	4,032	4.46%	665	0.64%	96	21.95%	3,271

ESPOSITO SECURITIES, LLC : ESPO	10.04%	1,496	1.04%	155	0.48%	71	8.52%	1,270
Goldman Sachs Execution & Clearing, L.P. : S	2.91%	433	0.02%	3	0.15%	22	2.74%	408
INSTINET, LLC : INCA	0.65%	97	0.01%	1	0.08%	12	0.56%	84
Knight Capital Americas LLC : NITE	29.22%	4,355	3.15%	469	0.05%	7	26.03%	3,879
Pershing LLC : PERX	1.52%	227	0.08%	12	0.11%	17	1.33%	198
UBS Securities LLC : UBSS	17.61%	2,624	1.99%	297	0.12%	18	15.49%	2,309

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

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	46,545			
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
	12.01%	5,590	2.89%	1,347
			85.10%	39,608

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	1.40%	653	0.00%	2	0.20%	91	1.20%	560
Barclays Capital Inc./Le : LHMS	10.19%	4,742	0.16%	73	0.50%	235	9.53%	4,434
Citadel Securities LLC : CDRG	27.76%	12,920	4.04%	1,882	1.00%	467	22.71%	10,571
ESPOSITO SECURITIES, LLC : ESPO	11.12%	5,177	1.27%	591	0.57%	265	9.28%	4,321
Goldman Sachs Execution & Clearing, L.P. : S	4.06%	1,888	0.05%	21	0.26%	121	3.75%	1,746
INSTINET, LLC : INCA	0.46%	213	0.00%	0	0.04%	19	0.42%	194
Knight Capital Americas LLC : NITE	0.00%	1	0.00%	0	0.00%	0	0.00%	1
Knight Capital Americas LLC : TRIM	26.80%	12,472	3.43%	1,596	0.02%	7	23.35%	10,869
Pershing LLC : PERX	0.40%	185	0.09%	43	0.06%	26	0.25%	116
UBS Securities LLC : UBSS	17.82%	8,294	2.97%	1,382	0.25%	116	14.60%	6,796

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