

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 31 Dec, 2015 at 19:31
Activity Date: 12/31/2015
Quarter Starting On: 10/01/2015

Exchange: American / Regional Stock Exchange Securities (AMEX)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	1,564			
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
	17.14%	268	11.00%	172
			71.87%	1,124

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	11.76%	184	0.26%	4	0.58%	9	10.93%	171
CLEARPOOL EXECUTION SERVICES, LLC :	0.06%	1	0.00%	0	0.00%	0	0.06%	1
Citadel Securities LLC : CDRG	66.37%	1,038	15.28%	239	9.21%	144	41.88%	655
ESPOSITO SECURITIES, LLC : ESPO	16.30%	255	1.60%	25	0.45%	7	14.26%	223
Goldman Sachs Execution & Clearing, L.P. : S	2.94%	46	0.00%	0	0.51%	8	2.43%	38
Knight Capital Americas LLC : TRIM	0.64%	10	0.00%	0	0.19%	3	0.45%	7
MERRILL LYNCH, PIERCE, FENNER & SMITH	1.92%	30	0.00%	0	0.06%	1	1.85%	29

Exchange: BATS Stock Exchange Securities (BAT)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	10			
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
	0.00%	0	0.00%	0
			100.00%	10

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
Citadel Securities LLC : CDRG	90.00%	9	0.00%	0	0.00%	0	90.00%	9
MERRILL LYNCH, PIERCE, FENNER & SMITH	10.00%	1	0.00%	0	0.00%	0	10.00%	1

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 19,009

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
	8.91%	1,694	2.66%	505	88.43%	16,810

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	0.04%	8	0.00%	0	0.00%	0	0.04%	8
Barclays Capital Inc./Le : LHMS	11.67%	2,219	0.05%	9	0.09%	18	11.53%	2,192
CLEARPOOL EXECUTION SERVICES, LLC :	0.92%	174	0.00%	0	0.00%	0	0.92%	174
Citadel Securities LLC : CDRG	76.05%	14,456	7.58%	1,440	2.31%	440	66.16%	12,576
ESPOSITO SECURITIES, LLC : ESPO	7.15%	1,359	0.97%	184	0.13%	25	6.05%	1,150
Goldman Sachs Execution & Clearing, L.P. : S	0.24%	45	0.00%	0	0.07%	14	0.16%	31
Knight Capital Americas LLC : NITE	1.27%	242	0.32%	61	0.02%	3	0.94%	178
MERRILL LYNCH, PIERCE, FENNER & SMITH	2.64%	501	0.00%	0	0.00%	0	2.64%	501
Nasdaq Execution Services, LLC. : NSDQ	0.03%	5	0.00%	0	0.03%	5	0.00%	0

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 57,229

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
	9.83%	5,623	3.06%	1,751	87.11%	49,855

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	0.19%	111	0.00%	0	0.01%	8	0.18%	103
Barclays Capital Inc./Le : LHMS	10.27%	5,877	0.10%	56	0.12%	68	10.05%	5,753
CLEARPOOL EXECUTION SERVICES, LLC :	0.17%	97	0.00%	0	0.00%	1	0.17%	96
Citadel Securities LLC : CDRG	78.57%	44,964	8.63%	4,940	2.64%	1,508	67.30%	38,516
ESPOSITO SECURITIES, LLC : ESPO	7.86%	4,499	1.05%	599	0.11%	62	6.71%	3,838
Goldman Sachs Execution & Clearing, L.P. : S	0.34%	193	0.00%	2	0.16%	89	0.18%	102
Knight Capital Americas LLC : TRIM	0.26%	147	0.05%	26	0.02%	10	0.19%	111
MERRILL LYNCH, PIERCE, FENNER & SMITH	2.34%	1,340	0.00%	0	0.01%	5	2.33%	1,335
Barclays Capital Inc./Le : LHMS	0.00%	1	0.00%	0	0.00%	0	0.00%	1

End of SEC Rule 606 - Order Routing Disclosure Report