

# fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Esposito Securities LLC

Run on: 30 Dec, 2016 at 19:53  
Activity Date: 12/30/2016  
Quarter Starting On: 10/01/2016

## Exchange: ASE and All Other National Exchanges

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	1,926																				
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;">1.61%</td> <td style="text-align: center;">31</td> <td style="text-align: center;">5.82%</td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">112</td> <td style="text-align: center;">92.58%</td> </tr> <tr> <td></td> <td></td> <td></td> <td style="text-align: center;">1,783</td> </tr> </table>		Market	Limit	Other including "Not Held"		Percentage	# of Orders	Percentage		1.61%	31	5.82%			112	92.58%				1,783
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	1.61%	31	5.82%																		
		112	92.58%																		
			1,783																		

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	0.67%	13	0.05%	1	0.00%	0	0.62%	12
Barclays Capital Inc./Le : LEHM	5.87%	113	0.00%	0	0.26%	5	5.61%	108
CLEARPOOL EXECUTION SERVICES, LLC :	10.12%	195	0.10%	2	0.83%	16	9.19%	177
Citadel Securities LLC : CDRG	56.39%	1,086	1.45%	28	4.10%	79	50.83%	979
ESPOSITO SECURITIES, LLC : ESPO	10.49%	202	0.00%	0	0.00%	0	10.49%	202
GOLDMAN, SACHS & CO. : GSCS	3.95%	76	0.00%	0	0.62%	12	3.32%	64
Goldman, Sachs & Co. : GSCO	12.51%	241	0.00%	0	0.00%	0	12.51%	241

## Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders Having a Market Value Less Than \$200,000:	14,696																				
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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		76	97.71%																		
			14,359																		

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	0.80%	117	0.00%	0	0.01%	1	0.79%	116
Barclays Capital Inc./Le : LEHM	13.23%	1,945	0.01%	1	0.01%	1	13.22%	1,943
CLEARPOOL EXECUTION SERVICES, LLC :	4.05%	595	0.02%	3	0.12%	18	3.91%	574
Citadel Securities LLC : CDRG	67.18%	9,873	1.74%	256	0.35%	51	65.09%	9,566
ESPOSITO SECURITIES, LLC : ESPO	6.44%	946	0.00%	0	0.01%	2	6.42%	944

GOLDMAN, SACHS & CO. : GSCS	2.29%	337	0.01%	1	0.02%	3	2.27%	333
Goldman, Sachs & Co. : GSCO	5.99%	881	0.00%	0	0.00%	0	5.99%	881
INTL FCSTONE FINANCIAL INC. : INTL	0.01%	1	0.00%	0	0.00%	0	0.01%	1
CLEARPOOL EXECUTION SERVICES, LLC :	0.01%	1	0.00%	0	0.00%	0	0.01%	1

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

Non-Directed Customer Orders Having a Market Value Less Than \$200,000: 44,635

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
	1.64%	734	0.56%	251	97.79%	43,650

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	0.36%	159	0.00%	0	0.00%	1	0.35%	158
Barclays Capital Inc./Le : LEHM	11.61%	5,180	0.03%	12	0.05%	21	11.53%	5,147
CLEARPOOL EXECUTION SERVICES, LLC :	4.64%	2,073	0.02%	7	0.10%	44	4.53%	2,022
Citadel Securities LLC : CDRG	64.69%	28,875	1.60%	712	0.32%	142	62.78%	28,021
ESPOSITO SECURITIES, LLC : ESPO	7.88%	3,519	0.00%	0	0.06%	25	7.83%	3,494
GOLDMAN, SACHS & CO. : GSCS	2.08%	928	0.00%	2	0.04%	18	2.03%	908
Goldman, Sachs & Co. : GSCO	8.73%	3,896	0.00%	0	0.00%	0	8.73%	3,896
Citadel Securities LLC : CDRG	0.01%	4	0.00%	1	0.00%	0	0.01%	3
GOLDMAN, SACHS & CO. : GSCS	0.00%	1	0.00%	0	0.00%	0	0.00%	1

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