

SEC Rule 606 Report - Westpark Capital Inc - 4th Qtr, 2016

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

Securities Listed on New York Stock Exchange Euronext

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	* Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	55.99	26.23	17.78	1,468	822	385	261	0	55.99	26.23	17.78
Citadel Securities	69.35	66.67	71.95	73.95	1,018	548	277	193	0	53.83	27.21	18.96
UBS Securities LLC	29.29	31.63	27.79	24.14	430	260	107	63	0	60.47	24.88	14.65
Goldman Sachs Exec&Clear	1.23	1.70	0.26	1.15	18	14	1	3	0	77.78	5.56	16.67
CPPT	0.14	0.00	0.00	0.77	2	0	0	2	0	0.00	0.00	100.00

100.00% of total customer orders were non-directed orders.

Securities Listed on The Nasdaq Stock Market

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	* Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	33.40	32.56	34.05	3,557	1,188	1,158	1,211	0	33.40	32.56	34.05
Citadel Securities	52.77	58.33	46.37	53.43	1,877	693	537	647	0	36.92	28.61	34.47
UBS Securities LLC	38.12	38.89	40.50	35.09	1,356	462	469	425	0	34.07	34.59	31.34
Canaccord Genuity Securit	7.53	2.36	12.78	7.60	268	28	148	92	0	10.45	55.22	34.33
CPPT	1.27	0.00	0.00	3.72	45	0	0	45	0	0.00	0.00	100.00
Vandham Securities Corp.	0.31	0.42	0.35	0.17	11	5	4	2	0	45.45	36.36	18.18

100.00% of total customer orders were non-directed orders.

Securities Listed on NYSE MKT or other National Securities Exchange

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	* Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	38.66	22.05	39.29	1,120	433	247	440	0	38.66	22.05	39.29
Citadel Securities	90.54	93.76	85.02	90.45	1,014	406	210	398	0	40.04	20.71	39.25
UBS Securities LLC	8.66	6.24	14.17	7.95	97	27	35	35	0	27.84	36.08	36.08
CPPT	0.54	0.00	0.00	1.36	6	0	0	6	0	0.00	0.00	100.00
Canaccord Genuity Securit	0.27	0.00	0.81	0.23	3	0	2	1	0	0.00	66.67	33.33

100.00% of total customer orders were non-directed orders.

Exchange-Listed Options

	Publicly Posted Percentages				Private Supporting Data							
Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	8.16	91.84	0.00	625	51	574	0	0	8.16	91.84	0.00
Citadel Securities	100.00	100.00	100.00	0.00	625	51	574	0	0	8.16	91.84	0.00

100.00% of total customer orders were non-directed orders.

[Material Aspects of Relationship with Route Venues](#)
[How to read this report](#)

*Unknown is part of Other.

© Copyright 2017 CoreOne Technologies.
All Rights Reserved.