

SEC Rule 606 Report - COR Clearing - 4th Qtr, 2018

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

Securities Listed on New York Stock Exchange Euronext

	Publicly Posted Percentages				Private Supporting Data							
Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	49.19	23.79	27.01	1,614	794	384	436	0	49.19	23.79	27.01
Citadel Securities	28.50	25.69	28.65	33.49	460	204	110	146	0	44.35	23.91	31.74
Canaccord Genuity Inc	26.89	26.20	30.21	25.23	434	208	116	110	0	47.93	26.73	25.35
UBS Securities LLC	23.05	23.43	19.27	25.69	372	186	74	112	0	50.00	19.89	30.11
Goldman Sachs Exec&Clear	20.82	24.69	21.35	13.30	336	196	82	58	0	58.33	24.40	17.26

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

Securities Listed on The Nasdaq Stock Market

	Publicly Posted Percentages				Private Supporting Data							
Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	25.61	36.88	37.51	11,106	2,844	4,096	4,166	0	25.61	36.88	37.51
Citadel Securities	31.01	30.24	28.32	34.18	3,444	860	1,160	1,424	0	24.97	33.68	41.35
UBS Securities LLC	24.02	21.87	24.02	25.49	2,668	622	984	1,062	0	23.31	36.88	39.81
Canaccord Genuity Inc	23.03	23.63	25.68	20.02	2,558	672	1,052	834	0	26.27	41.13	32.60
Goldman Sachs Exec&Clear	20.44	24.26	21.97	16.32	2,270	690	900	680	0	30.40	39.65	29.96

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

Securities Listed on NYSE MKT or other National Securities Exchange

	Publicly Posted Percentages				Private Supporting Data							
Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	25.66	26.93	47.41	2,198	564	592	1,042	0	25.66	26.93	47.41
UBS Securities LLC	30.39	29.79	22.64	35.12	668	168	134	366	0	25.15	20.06	54.79
Canaccord Genuity Inc	24.57	25.89	30.74	20.35	540	146	182	212	0	27.04	33.70	39.26
Citadel Securities	23.11	24.82	27.70	19.58	508	140	164	204	0	27.56	32.28	40.16
Goldman Sachs Exec&Clear	20.29	19.50	18.92	21.50	446	110	112	224	0	24.66	25.11	50.22

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	10.70	89.30	0.00	1,178	126	1,052	0	0	10.70	89.30	0.00
Susquehanna Investment Gr	51.27	50.79	51.33	0.00	604	64	540	0	0	10.60	89.40	0.00
Citadel Securities	48.73	49.21	48.67	0.00	574	62	512	0	0	10.80	89.20	0.00

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

[Material Aspects of Relationship with Route Venues](#)
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*Unknown is part of Other.

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