

SEC Rule 606 – ATM Execution, LLC – 4th Qtr, 2016

Securities Listed on New York Stock Exchange Euronext

Route Venues	Publicly Posted Percentages			
	Total (%)	Market (%)	Limit (%)	Other (%)
NYSE	20.91%	2.94%	97.06%	0%
BATS Exchange	11.82%	0%	37.17%	62.83%
NYSE Arca	10.94%	0.34%	99.66%	0%
Nasdaq	10.63%	0%	99.95%	0.05%
BYX Exchange	6.49%	0%	100%	0%
IEX Exchange	5.65%	0%	11.76%	88.24%
CDRG	5.52%	0%	100%	0%
NITE	3.79%	0%	77.79%	22.21%
UBSS	3.26%	0%	16.43%	83.57%
DBAX	3.22%	0%	36.63%	63.37%
EDGX Exchange	2.86%	0%	100%	0%
MSCO	2.20%	0%	100%	0%
EDGA Exchange	2.15%	2.31%	97.69%	0%
EBXL	1.85%	0%	37.10%	62.90%
JPMX	1.80%	0%	36.46%	63.54%
INCA	1.25%	0%	16.54%	83.46%
PDQM	1.02%	0%	100%	0%
SGMA	1.02%	0%	51.72%	48.28%
MLCO	0.85%	0%	20.73%	79.27%
SOHO	0.81%	0%	100%	0%
PULX	0.69%	0%	45.41%	54.59%
CXCX	0.54%	0%	0%	100%
Nasdaq BX	0.17%	0%	100%	0%
NYFX	0.16%	0%	0%	100%
FBCO	0.13%	0%	90.40%	9.60%
LQNA	0.08%	94.38%	5.62%	0%
ALTX	0.05%	0%	0%	100%
LATS	0.03%	0%	63.43%	36.57%
BIDS	0.02%	0%	0%	100%

Securities Listed on Nasdaq Stock Market

Route Venues	Publicly Posted Percentages			
	Total (%)	Market (%)	Limit (%)	Other (%)
CDRG	22.72%	0%	100%	0%
Nasdaq	20.94%	1.78%	98.09%	0.13%
BATS Exchange	12.07%	0%	37.15%	62.85%
NYSE Arca	9.37%	0%	100%	0%
BYX Exchange	5.38%	0%	100%	0%
IEX Exchange	4.98%	0%	13.27%	86.73%
EDGX Exchange	3.29%	0%	100%	0%
UBSS	2.90%	0%	24.50%	75.50%
NITE	2.81%	0%	75.82%	24.18%
DBAX	2.60%	0%	40.55%	59.45%
MSCO	2.17%	0%	100%	0%
JPMX	1.78%	0%	39.83%	60.17%
EDGA Exchange	1.39%	4.27%	95.73%	0%
PULX	1.13%	0%	51.65%	48.35%
PDQM	1.08%	0%	100%	0%
EBXL	1.03%	0%	36.20%	63.80%
SGMA	0.97%	0%	59.84%	40.16%
INCA	0.84%	0%	23.23%	76.77%
SOHO	0.74%	0%	100%	0%
MLCO	0.65%	0%	28.28%	71.72%
CXCX	0.40%	0%	0%	100%
Nasdaq BX	0.21%	0%	100%	0%
FBCO	0.21%	0%	76.05%	23.95%
NYFX	0.14%	0%	0%	100%
LQNA	0.07%	96.22%	3.78%	0%
ALTX	0.04%	0%	0%	100%
LATS	0.02%	0%	71.89%	28.11%
BIDS	0.01%	0%	0%	100%

Securities Listed on NYSE Amex

Route Venues	Publicly Posted Percentages			
	Total (%)	Market (%)	Limit (%)	Other (%)
BATS Exchange	28.01%	0%	75.95%	24.05%
NYSE	14.64%	2.19%	97.81%	0%
NYSE Arca	10.02%	0%	100%	0%
Nasdaq	7.25%	0%	95.91%	4.09%
CDRG	5.17%	0%	100%	0%
DBAX	4.67%	0%	61.86%	38.14%
EDGX Exchange	4.05%	0%	100%	0%
BYX Exchange	3.99%	0%	100%	0%
IEX Exchange	3.60%	0%	28.86%	71.14%
NITE	2.95%	0%	61.11%	38.89%
UBSS	2.30%	0%	22.95%	77.05%
JPMX	1.81%	0%	58.58%	41.42%
SGMA	1.57%	0%	72.17%	27.83%
EBXL	1.55%	0%	44.07%	55.93%
INCA	1.55%	0%	30.59%	69.41%
MSCO	1.49%	0%	100%	0%
MLCO	1.43%	0%	21.53%	78.47%
PULX	1.06%	0%	23.14%	76.86%
EDGA Exchange	0.89%	2.22%	97.78%	0%
CXCX	0.87%	0%	0%	100%
PDQM	0.44%	0%	100%	0%
SOHO	0.26%	0%	100%	0%
NYFX	0.17%	0%	0%	100%
Nasdaq BX	0.15%	0%	100%	0%
FBCO	0.03%	0%	94.01%	5.99%
BIDS	0.02%	0%	0%	100%
ALTX	0.02%	0%	0%	100%
LATS	0.02%	0%	65%	35%
LQNA	0.01%	100%	0%	0%