

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	21.65%	2.41%	97.59%	0.00%
BATS Exchange	10.70%	0.00%	43.50%	56.50%
Nasdaq	9.19%	0.00%	99.90%	0.10%
NYSE Arca	8.32%	0.06%	99.94%	0.00%
BYX Exchange	7.77%	0.00%	99.68%	0.32%
IEX Exchange	5.74%	0.00%	7.67%	92.33%
CDRG	5.09%	0.00%	100.00%	0.00%
NITE	3.91%	0.00%	93.50%	6.50%
EDGX Exchange	3.23%	0.00%	98.58%	1.42%
JPMX	3.12%	0.00%	14.59%	85.41%
FBCO	2.80%	0.00%	100.00%	0.00%
UBSS	2.60%	0.00%	13.76%	86.24%
BIDS	2.60%	0.00%	0.00%	100.00%
PDQM	2.31%	0.00%	100.00%	0.00%
EDGA Exchange	1.95%	3.39%	96.35%	0.25%
MSCO	1.56%	0.00%	100.00%	0.00%
EBXL	1.54%	0.00%	29.96%	70.04%
DBAX	1.10%	0.00%	22.81%	77.19%
LATS	0.89%	0.00%	83.62%	16.38%
SOHO	0.67%	0.00%	100.00%	0.00%
LQNA	0.63%	0.00%	0.00%	100.00%
SGMA	0.58%	0.00%	19.11%	80.89%
INCA	0.52%	0.00%	12.45%	87.55%
MLCO	0.39%	0.00%	15.94%	84.06%
PULX	0.29%	0.00%	0.00%	100.00%
Nasdaq BX	0.27%	0.00%	89.38%	10.62%
CXCX	0.24%	0.00%	0.00%	100.00%
ALTX	0.24%	0.00%	0.00%	100.00%
LQNT	0.04%	73.05%	26.95%	0.00%
AQUA	0.04%	0.00%	0.00%	100.00%
NYSE AMEX	0.00%	0.00%	100.00%	0.00%

Securities Listed on Nasdaq Stock Market

Route Venues	Publicly Posted Percentages			
	Total (%)	Market (%)	Limit (%)	Other (%)
Nasdaq	22.14%	1.82%	98.05%	0.13%
BATS Exchange	13.82%	0.00%	39.44%	60.56%
NYSE Arca	10.39%	0.00%	100.00%	0.00%
BYX Exchange	8.06%	0.00%	99.82%	0.18%
CDRG	6.01%	0.00%	100.00%	0.00%
IEX Exchange	5.19%	0.00%	10.34%	89.66%
NITE	4.30%	0.00%	92.13%	7.87%
EDGX Exchange	3.94%	0.00%	98.23%	1.77%
JPMX	3.34%	0.00%	14.10%	85.90%
UBSS	3.18%	0.00%	9.31%	90.69%
FBCO	2.91%	0.00%	100.00%	0.00%
BIDS	2.87%	0.00%	0.00%	100.00%
PDQM	2.39%	0.00%	100.00%	0.00%
EDGA Exchange	1.99%	4.81%	95.10%	0.09%
MSCO	1.71%	0.00%	100.00%	0.00%
EBXL	1.43%	0.00%	22.15%	77.85%
DBAX	1.21%	0.00%	20.85%	79.15%
LATS	0.89%	0.00%	86.21%	13.79%
SOHO	0.72%	0.00%	100.00%	0.00%
SGMA	0.69%	0.00%	15.49%	84.51%
INCA	0.61%	0.00%	7.86%	92.14%
LQNA	0.50%	0.00%	0.00%	100.00%
MLCO	0.50%	0.00%	13.42%	86.58%
Nasdaq BX	0.31%	0.00%	84.62%	15.38%
CXCX	0.30%	0.00%	0.00%	100.00%
PULX	0.27%	0.00%	0.00%	100.00%
ALTX	0.24%	0.00%	0.00%	100.00%
AQUA	0.05%	0.00%	0.00%	100.00%
LQNT	0.05%	30.34%	69.66%	0.00%

Securities Listed on NYSE Amex

Route Venues	Publicly Posted Percentages			
	Total (%)	Market (%)	Limit (%)	Other (%)
BATS Exchange	19.93%	0.01%	63.33%	36.67%
NYSE Arca	12.96%	0.00%	100.00%	0.00%
Nasdaq	11.18%	0.00%	99.22%	0.78%
NYSE AMEX	8.49%	10.16%	89.84%	0.00%
UBSS	5.04%	0.00%	13.61%	86.39%
IEX Exchange	4.97%	0.00%	13.61%	86.39%
BYX Exchange	4.57%	0.00%	100.00%	0.00%
EDGX Exchange	4.48%	0.00%	99.87%	0.13%
EBXL	3.89%	0.00%	48.41%	51.59%
JPMX	3.53%	0.00%	60.39%	39.61%
FBCO	3.36%	0.00%	100.00%	0.00%
CDRG	2.55%	0.00%	100.00%	0.00%
NITE	2.49%	0.00%	78.71%	21.29%
MSCO	2.05%	0.00%	100.00%	0.00%
BIDS	1.82%	0.00%	0.00%	100.00%
DBAX	1.66%	0.00%	30.45%	69.55%
PDQM	0.97%	0.00%	100.00%	0.00%
ALTX	0.95%	0.00%	0.00%	100.00%
LATS	0.94%	0.00%	86.84%	13.16%
INCA	0.86%	0.00%	18.02%	81.98%
SGMA	0.67%	0.00%	36.17%	63.83%
SOHO	0.66%	0.00%	100.00%	0.00%
MLCO	0.62%	0.00%	24.65%	75.35%
EDGA Exchange	0.61%	9.60%	90.40%	0.00%
CXCX	0.42%	0.00%	0.00%	100.00%
Nasdaq BX	0.22%	0.00%	100.00%	0.00%
LQNT	0.09%	76.92%	23.08%	0.00%