

Rule 606 Quarterly Order Routing Report Template

Published by the Broker-Dealer & Investment Management Regulation Group
January 2012

This questionnaire may be used to assist in the preparation of the quarterly order routing reports required in response to Rule 606 under the U.S. Securities Exchange Act of 1934, as amended (the “Exchange Act”).

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Rule 606, and the questions below, cover only transactions in “NMS securities,” which are defined as “any security or class of securities for which transaction reports are collected, processed, and made available pursuant to an effective transaction reporting plan, or an effective national market system plan for reporting transactions in listed options.”¹ Reports with respect to securities covered by Rule 606 must be divided into four sections respecting the four different types of covered securities: (1) equity securities listed on the New York Stock Exchange; (2) equity securities qualified for inclusion in The Nasdaq Stock Market; (3) equity securities listed on the American Stock Exchange or any other national securities exchange; and (4) NMS securities that are options.

I. New York Stock Exchange Listed Securities

Please answer the following questions for those securities, other than option contracts, that are listed on the New York Stock Exchange LLC (the “NYSE”).

1.	How many total customer orders ² were processed?	_____
2.	How many customer orders involved an order for a quantity of a security having a market value of at least \$200,000?	_____

¹ Rule 600(b)(48). A “transaction report” means “a report containing the price and volume associated with a transaction involving the purchase or sale of one or more round lots of a security.” Rule 600(b)(80). An “effective transaction reporting plan” means “any transaction reporting plan approved by the Securities and Exchange Commission (the “SEC” or “Commission”) pursuant to Rule 601.” Rule 600(b)(22). A “transaction reporting plan” means “any plan for collecting, processing, making available or disseminating transaction reports with respect to transactions in securities filed with the Commission pursuant to, and meeting the requirements of Rule 601.” Rule 600(b)(82).

² A “customer order” means “an order to buy or sell an NMS security that is not for the account of a broker or dealer, but shall not include any order for a quantity of a security having a market value of at least \$50,000 for an NMS security that is an option contract and a market value of \$200,000 for any other NMS security.” Rule 600(b)(18).

3.	Subtract line 2 from line 1	_____	³
4.	How many of the customer orders in line 3 did the customer specifically instruct us to route the order to a particular venue?	_____	⁴
5.	Subtract line 4 from line 3	_____	⁵
6.	Divide line 5 by line 3	_____ %	⁶
7.	How many of the orders in line 5 were market orders?	_____	⁷
8.	Divide line 7 by line 5	_____	⁸
9.	How many of the orders in line 5 were limit orders?	_____	⁹
10.	Divide line 9 by line 5	_____	¹⁰
11.	Subtract lines 7 and 9 from line 5	_____	¹¹
12.	Divide line 11 by line 5	_____ %	¹²
13.	List the ten largest venues ¹³ to which the orders in line 5 were routed for execution, and the number of such orders routed to each venue.		
	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ¹⁴
	i) _____	_____	_____
	ii) _____	_____	_____
	iii) _____	_____	_____
	iv) _____	_____	_____

³ Number of total NYSE “customer orders.”

⁴ Number of NYSE “directed orders.”

⁵ Number of total NYSE “non-directed orders.”

⁶ Percentage of total NYSE customer orders that were non-directed orders.

⁷ Number of NYSE market orders.

⁸ Percentage of NYSE non-directed orders that were market orders.

⁹ Number of NYSE limit orders.

¹⁰ Percentage of NYSE non-directed orders that were limit orders.

¹¹ Number of NYSE non-directed orders that were orders other than market orders or limit orders.

¹² Percentage of NYSE non-directed orders that were orders other than market orders or limit orders.

¹³ Although the SEC has not defined the term “venue,” it has indicated that it is to be interpreted broadly to cover any exchange market maker, OTC market maker, alternative trading system, national security exchange or national securities association, as well as any other person or entity to which a broker routes non-directed orders for execution. See *Disclosure of Order Execution and Routing Practices*, SEC Release No. 34-43590, 2000 WL 1721163, Nov. 17, 2000, at n.63.

¹⁴ Divide number of orders routed to each venue by line 5.

	v) _____ vi) _____ vii) _____ viii) _____ ix) _____ x) _____	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____
	List any other venues to which more than 5% of the orders in line 5 were routed for execution, and the number of such orders routed to such venue. xi) _____ xii) _____ xiii) _____ xiv) _____ xv) _____	_____ _____ _____ _____ _____	_____ _____ _____ _____ _____
14.	For each of the venues listed in line 13, how many of the orders were market orders? <u>Venue</u> i) _____ ii) _____ iii) _____ iv) _____ v) _____ vi) _____ vii) _____ viii) _____ ix) _____	<u>Number</u> _____ _____ _____ _____ _____ _____ _____ _____ _____	<u>Percentage</u> ¹⁵ _____ _____ _____ _____ _____ _____ _____ _____ _____

¹⁵ Divide number of market orders routed to each venue by line 5.

	x) _____ xi) _____ xii) _____ xiii) _____ xiv) _____ xv) _____	_____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____
15.	For each of the venues listed in line 13, how many of the orders were limit orders? <u>Venue</u> i) _____ ii) _____ iii) _____ iv) _____	<u>Number</u> _____ _____ _____ _____	<u>Percentage</u> ¹⁶ _____ _____ _____ _____
	v) _____ vi) _____ vii) _____ viii) _____ ix) _____ x) _____ xi) _____ xii) _____ xiii) _____ xiv) _____ xv) _____	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____
16.	For each of the venues listed in line 13, how many of the orders were neither market orders nor limit orders (subtract the number of market orders in line 14 and the number of limit orders in line 15)		

¹⁶ Divide number of limit orders routed to each venue by line 5.

	from the total number in line 13).		
	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ¹⁷
	i) _____	_____	_____
	ii) _____	_____	_____
	iii) _____	_____	_____
	iv) _____	_____	_____
	v) _____	_____	_____
	vi) _____	_____	_____
	vii) _____	_____	_____
	viii) _____	_____	_____
	ix) _____	_____	_____
	x) _____	_____	_____
	xi) _____	_____	_____
	xii) _____	_____	_____
	xiii) _____	_____	_____
	xiv) _____	_____	_____
	xv) _____	_____	_____
17.	List all material aspects of our relationship with each venue identified in question 13, including a description of any arrangement for “payment for order flow” ¹⁸ and any “profit-sharing relationship.” ¹⁹		
	<u>Venue</u>		
	i) _____		

¹⁷ Divide number of orders other than market orders or limit orders routed to each venue by line 5.

¹⁸ “Payment for order flow” means any monetary payment, service, property, or other benefit that results in remuneration, compensation, or consideration to us from any broker or dealer, national securities exchange, registered securities association, or exchange member in return for the routing of customer orders by us to any broker or dealer, national securities exchange, registered securities association, or exchange member for execution, including but not limited to: research, clearance, custody, products or services; reciprocal agreements for the provision of order flow; adjustment of our unfavorable trading errors; offers to participate as underwriter in public offerings; stock loans or shared interest accrued thereon; discounts, rebates, or any other reductions of or credits against any fee to, or expense or other financial obligation of, us that exceeds that fee, expense or financial obligation. See Rule 600(b)(54); Rule 10b-10(d)(8) under the Exchange Act.

¹⁹ A “profit-sharing relationship” means any ownership or other type of affiliation under which we, directly or indirectly, may share in any profits that may be derived from the execution of “non-directed orders.” See Rule 600(b)(56).

Relationship

Payment for order flow and profit-sharing relationship

Venue

ii)

Relationship

Payment for order flow and profit-sharing relationship

Venue

iii)

Relationship

Payment for order flow and profit-sharing-relationship

	<u>Venue</u>
iv)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
v)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
vi)	
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
vii)	

	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
viii)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>

Venue

ix)

Relationship

Payment for order flow and profit-sharing relationship

Venue

x)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xi)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xii)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xiii)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xiv)

	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
xv)	<u>Venue</u>
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>

II. Nasdaq Stock Market Listed Securities

Please answer the following questions for those securities, other than option contracts, that are listed on the Nasdaq Stock Market LLC ("Nasdaq").

1.	How many total customer orders were processed?	_____
2.	How many "customer orders" involved an order for a quantity of a security having a market value of at least \$200,000?	_____
3.	Subtract line 2 from line 1	_____ ²⁰

²⁰ Number of total Nasdaq "customer orders."

4.	How many of the customer orders in line 3 did the customer specifically instruct us to route the order to a particular venue?	_____	21
5.	Subtract line 4 from line 3	_____	22
6.	Divide line 5 by line 3	_____ %	23
7.	How many of the orders in line 5 were market orders?	_____	24
8.	Divide line 7 by line 5	_____	25
9.	How many of the orders in line 5 were limit orders?	_____	26
10.	Divide line 9 by line 5	_____	27
11.	Subtract lines 7 and 9 from line 5	_____	28
12.	Divide line 11 by line 5	_____ %	29
13.	List the ten largest venues to which the orders in line 5 were routed for execution, and the number of such orders routed to each venue.		
	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ³⁰
	i) _____	_____	_____
	ii) _____	_____	_____
	iii) _____	_____	_____
	iv) _____	_____	_____
	v) _____	_____	_____

²¹ Number of Nasdaq "directed orders."

²² Number of total Nasdaq "non-directed orders."

²³ Percentage of total Nasdaq customer orders that were non-directed orders.

²⁴ Number of Nasdaq market orders.

²⁵ Percentage of Nasdaq non-directed orders that were market orders.

²⁶ Number of Nasdaq limit orders.

²⁷ Percentage of Nasdaq non-directed orders that were limit orders.

²⁸ Number of Nasdaq non-directed orders that were orders other than market orders or limit orders.

²⁹ Percentage of Nasdaq non-directed orders that were orders other than market orders or limit orders.

³⁰ Divide number of orders routed to each venue by line 5.

	vi) _____ vii) _____ viii) _____ ix) _____ x) _____ List any other venues to which more than 5% of the orders in line 5 were routed for execution, and the number of such orders routed to such venue. xi) _____	_____	_____
	xii) _____ xiii) _____ xiv) _____ xv) _____	_____	_____
14.	For each of the venues listed in line 13, how many of the orders were market orders? <u>Venue</u> i) _____ ii) _____ iii) _____ iv) _____ v) _____ vi) _____ vii) _____ viii) _____ ix) _____ x) _____	<u>Number</u> _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<u>Percentage</u> ³¹ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

³¹ Divide number of market orders routed to each venue by line 5.

	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ³³
	i) _____	_____	_____
	ii) _____	_____	_____
	iii) _____	_____	_____
	iv) _____	_____	_____
	v) _____	_____	_____
	vi) _____	_____	_____
	vii) _____	_____	_____
	viii) _____	_____	_____
	ix) _____	_____	_____
	x) _____	_____	_____
	xi) _____	_____	_____
	xii) _____	_____	_____
	xiii) _____	_____	_____
	xiv) _____	_____	_____
	xv) _____	_____	_____
17.	<p>List all material aspects of our relationship with each venue identified in question 13, including a description of any arrangement for payment for order flow and any profit-sharing relationship.</p> <p style="text-align: center;"><u>Venue</u></p> <p>i) _____</p> <p style="text-align: center;"><u>Relationship</u></p> <p>_____</p> <p>_____</p> <p>_____</p> <p style="text-align: center;"><u>Payment for order flow and profit-sharing relationship</u></p>		

³³ Divide the number of orders other than market orders or limit orders routed to each venue by line 5.

	<hr/> <hr/> <hr/> <p style="text-align: center;"><u>Venue</u></p>
ii)	<hr/> <p style="text-align: center;"><u>Relationship</u></p> <hr/> <hr/> <hr/> <p style="text-align: center;"><u>Payment for order flow and profit-sharing relationship</u></p> <hr/> <hr/> <hr/> <p style="text-align: center;"><u>Venue</u></p>
iii)	<hr/> <p style="text-align: center;"><u>Relationship</u></p> <hr/> <hr/> <hr/> <p style="text-align: center;"><u>Payment for order flow and profit-sharing relationship</u></p> <hr/> <hr/> <hr/> <p style="text-align: center;"><u>Venue</u></p>
iv)	<hr/> <p style="text-align: center;"><u>Relationship</u></p>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
v)	
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
vi)	
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<hr/> <hr/> <p style="text-align: center;"><u>Venue</u></p>
vii)	<hr/> <hr/> <p style="text-align: center;"><u>Relationship</u></p> <hr/> <hr/>

	<hr/> <hr/> <p style="text-align: center;"><u>Payment for order flow and profit-sharing relationship</u></p> <hr/> <hr/> <hr/> <hr/>
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	<hr/> <hr/> <p style="text-align: center;"><u>Venue</u></p>
viii)	<hr/> <hr/> <p style="text-align: center;"><u>Relationship</u></p> <hr/> <hr/>

	<hr/> <hr/> <p style="text-align: center;"><u>Payment for order flow and profit-sharing relationship</u></p> <hr/> <hr/> <hr/> <hr/>
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	<hr/> <hr/> <p style="text-align: center;"><u>Venue</u></p>
ix)	<hr/> <hr/> <p style="text-align: center;"><u>Relationship</u></p> <hr/> <hr/>

Payment for order flow and profit-sharing relationship

Venue

x)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xi)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xii)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xiii)

Relationship

Payment for order flow and profit-sharing relationship

Venue

xiv)

Relationship

Payment for order flow and profit-sharing relationship

	<u>Venue</u>
xv)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>

III. American Stock Exchange and Other Exchange Listed Securities

Please answer the following questions for those securities, other than option contracts, that are listed on the American Stock Exchange LLC (the “AMEX”) or any other national securities exchange³⁴ other than the NYSE or Nasdaq (“Other Exchange Listed Securities”).

1.	How many total customer orders were processed?	_____
2.	How many customer orders involved an order for a quantity of a security having a market value of at least \$200,000?	_____
3.	Subtract line 2 from line 1	_____ ³⁵
4.	How many of the customer orders in line 3 did the customer specifically instruct us to route the order to a particular venue?	_____ ³⁶
5.	Subtract line 4 from line 3	_____ ³⁷

³⁴ “National securities exchange” means “any exchange registered pursuant to section 6 of the [Exchange] Act.” Rule 600(b)(45).

³⁵ Number of total AMEX and Other Exchange Listed Securities “customer orders.”

³⁶ Number of AMEX and Other Exchange Listed Securities “directed orders.”

³⁷ Number of total AMEX and Other Exchange Listed Securities “non-directed orders.”

6.	Divide line 5 by line 3	_____ % ³⁸	
7.	How many of the orders in line 5 were market orders?	_____ 39	
8.	Divide line 7 by line 5	_____ 40	
9.	How many of the orders in line 5 were limit orders?	_____ 41	
10.	Divide line 9 by line 5	_____ 42	
11.	Subtract lines 7 and 9 from line 5	_____ 43	
12.	Divide line 11 by line 5	_____ % ⁴⁴	
13.	List the ten largest venues to which the orders in line 5 were routed for execution, and the number of such orders routed to each venue.		
	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ⁴⁵
	i) _____	_____	_____
	ii) _____	_____	_____
	iii) _____	_____	_____
	iv) _____	_____	_____
	v) _____	_____	_____
	vi) _____	_____	_____
	vii) _____	_____	_____
	viii) _____	_____	_____
	ix) _____	_____	_____

³⁸ Percentage of total AMEX and other Exchange Listed Securities customer orders that were non-directed orders.

³⁹ Number of AMEX and Other Exchange Listed Securities market orders.

⁴⁰ Percentage of AMEX and Other Exchange Listed Securities "non-directed orders" that were market orders.

⁴¹ Number of AMEX and Other Exchange Listed Securities limit orders.

⁴² Percentage of AMEX and Other Exchange Listed Securities non-directed orders that were limit orders.

⁴³ Number of AMEX and Other Exchange Listed Securities non-directed orders that were orders other than market orders or limit orders.

⁴⁴ Percentage of AMEX and Other Exchange Listed Securities non-directed orders that were orders other than market orders or limit orders.

⁴⁵ Divide number of orders routed to each venue by line 5.

	x) _____	_____	_____
	List any other venues to which more than 5% of the orders in line 5 were routed for execution, and the number of such orders routed to such venue. xi) _____ xii) _____ xiii) _____ xiv) _____ xv) _____	_____	_____
14.	For each of the venues listed in line 13, how many of the orders were market orders? <u>Venue</u> i) _____ ii) _____ iii) _____ iv) _____ v) _____ vi) _____ vii) _____ viii) _____ ix) _____ x) _____ xi) _____ xii) _____ xiii) _____ xiv) _____	<u>Number</u> _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<u>Percentage</u> ⁴⁶ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____

⁴⁶ Divide number of market orders routed to each venue by line 5.

	xv) _____	_____	_____
15.	For each of the venues listed in line 13, how many of the orders were limit orders?		
	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ⁴⁷
	i) _____	_____	_____
	ii) _____	_____	_____
	iii) _____	_____	_____
	iv) _____	_____	_____
	v) _____	_____	_____
	vi) _____	_____	_____
	vii) _____	_____	_____
	viii) _____	_____	_____
	ix) _____	_____	_____
	x) _____	_____	_____
	xi) _____	_____	_____
	xii) _____	_____	_____
	xiii) _____	_____	_____
	xiv) _____	_____	_____
	xv) _____	_____	_____
16.	For each of the venues listed in line 13, how many of the orders were neither market orders nor limit orders (subtract the number of market orders in line 14 and the number of limit orders in line 15 from the total number in line 13).		
	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ⁴⁸
	i) _____	_____	_____
	ii) _____	_____	_____

⁴⁷ Divide number of limit orders routed to each venue by line 5

⁴⁸ Divide number of orders other than market orders or limit orders routed to each venue by line 5.

	iii) _____	_____	_____
	iv) _____	_____	_____
	v) _____	_____	_____
	vi) _____	_____	_____
	vii) _____	_____	_____
	viii) _____	_____	_____
	ix) _____	_____	_____
	x) _____	_____	_____
	xi) _____	_____	_____
	xii) _____	_____	_____
	xiii) _____	_____	_____
	xiv) _____	_____	_____
	xv) _____	_____	_____
17.	<p>List all material aspects of our relationship with each venue identified in question 13, including a description of any arrangement for payment for order flow and any profit-sharing relationship.</p> <p style="text-align: center;"><u>Venue</u></p> <p>i) _____</p> <p style="text-align: center;"><u>Relationship</u></p> <p>_____</p> <p>_____</p> <p>_____</p> <p style="text-align: center;"><u>Payment for order flow and profit-sharing relationship</u></p> <p>_____</p> <p>_____</p> <p>_____</p> <p style="text-align: center;"><u>Venue</u></p> <p>ii) _____</p>		

	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
iii)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
iv)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
v)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
vi)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
vii)	
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
viii)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
ix)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
x)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xi)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xii)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xiii)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xiv)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xv)	_____

	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

IV. Option Contracts

Please answer the following questions for any option contracts traded on a national securities exchange for which last sale reports and quotation information is made available pursuant to an effective national market system plan (“Reported Options”).

1.	How many total customer orders were processed?	_____
2.	How many customer orders involved an order for a quantity of a security having a market value of at least \$50,000?	_____
3.	Subtract line 2 from line 1	_____ ⁴⁹
4.	How many of the customer orders in line 3 did the customer specifically instruct us to route the order to a particular venue?	_____ ⁵⁰
5.	Subtract line 4 from line 3	_____ ⁵¹
6.	Divide line 5 by line 3	_____ % ⁵²
7.	How many of the orders in line 5 were market orders?	_____ ⁵³
8.	Divide line 7 by line 5	_____ ⁵⁴

⁴⁹ Number of total Reported Options “customer orders.”

⁵⁰ Number of Reported Options “directed orders.”

⁵¹ Number of total Reported Options “non-directed orders.”

⁵² Percentage of total Reported Options customer orders that were non-directed orders.

⁵³ Number of Reported Options market orders.

⁵⁴ Percentage of Reported Options “non-directed orders” that were market orders.

9.	How many of the orders in line 5 were limit orders?	_____	55																																												
10.		Divide line 9 by line 5	_____																																												
11.		Subtract lines 7 and 9 from line 5	_____																																												
12.		Divide line 11 by line 5	_____ % ⁵⁸																																												
13.	<p>List the ten largest venues to which the orders in line 5 were routed for execution, and the number of such orders routed to each venue.</p> <table border="1"> <thead> <tr> <th><u>Venue</u></th> <th><u>Number</u></th> <th><u>Percentage</u>⁵⁹</th> </tr> </thead> <tbody> <tr><td>i) _____</td><td>_____</td><td>_____</td></tr> <tr><td>ii) _____</td><td>_____</td><td>_____</td></tr> <tr><td>iii) _____</td><td>_____</td><td>_____</td></tr> <tr><td>iv) _____</td><td>_____</td><td>_____</td></tr> <tr><td>v) _____</td><td>_____</td><td>_____</td></tr> <tr><td>vi) _____</td><td>_____</td><td>_____</td></tr> <tr><td>vii) _____</td><td>_____</td><td>_____</td></tr> <tr><td>viii) _____</td><td>_____</td><td>_____</td></tr> <tr><td>ix) _____</td><td>_____</td><td>_____</td></tr> <tr><td>x) _____</td><td>_____</td><td>_____</td></tr> <tr> <td colspan="3"> <p>List any other venues to which more than 5% of the orders in line 5 were routed for execution, and the number of such orders routed to such venue.</p> </td> </tr> <tr><td>xi) _____</td><td>_____</td><td>_____</td></tr> <tr><td>xii) _____</td><td>_____</td><td>_____</td></tr> <tr><td>xiii) _____</td><td>_____</td><td>_____</td></tr> </tbody> </table>	<u>Venue</u>	<u>Number</u>	<u>Percentage</u> ⁵⁹	i) _____	_____	_____	ii) _____	_____	_____	iii) _____	_____	_____	iv) _____	_____	_____	v) _____	_____	_____	vi) _____	_____	_____	vii) _____	_____	_____	viii) _____	_____	_____	ix) _____	_____	_____	x) _____	_____	_____	<p>List any other venues to which more than 5% of the orders in line 5 were routed for execution, and the number of such orders routed to such venue.</p>			xi) _____	_____	_____	xii) _____	_____	_____	xiii) _____	_____	_____	
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ii) _____	_____	_____																																													
iii) _____	_____	_____																																													
iv) _____	_____	_____																																													
v) _____	_____	_____																																													
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xii) _____	_____	_____																																													
xiii) _____	_____	_____																																													

⁵⁵ _____
Number of Reported Options limit orders.

⁵⁶ Percentage of Reported Options non-directed orders that were limit orders.

⁵⁷ Number of Reported Options non-directed orders that were orders other than market orders or limit orders.

⁵⁸ Percentage of Reported Option non-directed orders that were orders other than market orders or limit orders.

⁵⁹ Divide number of orders routed to each venue by line 5.

	xiv) _____ xv) _____	_____	_____
14.	For each of the venues listed in line 13, how many of the orders were market orders? <u>Venue</u> i) _____ ii) _____ iii) _____ iv) _____ v) _____ vi) _____ vii) _____ viii) _____ ix) _____ x) _____ xi) _____ xii) _____ xiii) _____ xiv) _____ xv) _____	<u>Number</u> _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	<u>Percentage</u> ⁶⁰ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____
15.	For each of the venues listed in line 13, how many of the orders were limit orders? <u>Venue</u> i) _____ ii) _____	<u>Number</u> _____ _____	<u>Percentage</u> ⁶¹ _____ _____

⁶⁰ Divide number of market orders routed to each venue by line 5.

⁶¹ Divide number of limit orders routed to each venue by line 5

	iii) _____ iv) _____ v) _____ vi) _____ vii) _____ viii) _____ ix) _____ x) _____ xi) _____ xii) _____ xiii) _____ xiv) _____ xv) _____	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____	_____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____ _____
16.	<p>For each of the venues listed in line 13, how many of the orders were neither market orders nor limit orders (subtract the number of market orders in line 14 and the number of limit orders in line 15 from the total number in line 13).</p> <p style="text-align: center;"><u>Venue</u></p> i) _____ ii) _____ iii) _____ iv) _____ v) _____ vi) _____ vii) _____ viii) _____	<p style="text-align: center;"><u>Number</u></p> _____ _____ _____ _____ _____ _____ _____ _____	<p style="text-align: center;"><u>Percentage</u>⁶²</p> _____ _____ _____ _____ _____ _____ _____ _____

⁶² Divide number of orders other than market orders or limit orders routed to each venue by line 5.

ix)	_____	_____	_____
x)	_____	_____	_____
xi)	_____	_____	_____
xii)	_____	_____	_____
xiii)	_____	_____	_____
xiv)	_____	_____	_____
xv)	_____	_____	_____

17. List all material aspects of our relationship with each venue identified in question 13, including a description of any arrangement for payment for order flow and any profit-sharing relationship.

Venue

i) _____

Relationship

Payment for order flow and profit-sharing relationship

Venue

ii) _____

Relationship

Payment for order flow and profit-sharing relationship

	<u>Venue</u>
iii)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
iv)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
v)	
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
vi)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>
	<u>Venue</u>
vii)	
	<u>Relationship</u>
	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
viii)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
ix)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
x)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xi)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xii)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xiii)	_____

	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xiv)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

	<u>Venue</u>
xv)	_____
	<u>Relationship</u>

	<u>Payment for order flow and profit-sharing relationship</u>

This publication is a service to our clients and friends. It is designed only to give general information on the developments actually covered. It is not intended to be a comprehensive summary of recent developments in the law, treat exhaustively the subjects covered, provide legal advice, or render a legal opinion.

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