

SEC Rule 606 Report - A.G.P. / Alliance Global Partners - 2nd Qtr, 2018

(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	69.41	4.96	25.64	3,148	2,185	156	807	0	69.41	4.96	25.64
Euro Pacific Capital, Inc	24.87	35.74	0.00	0.25	783	781	0	2	0	99.74	0.00	0.26
Electronic Brokerage Syst	24.02	0.00	0.00	93.68	756	0	0	756	0	0.00	0.00	100.00
VIRTU Americas LLC	18.68	25.86	14.74	0.00	588	565	23	0	0	96.09	3.91	0.00
Citadel Securities	17.69	24.53	11.54	0.37	557	536	18	3	0	96.23	3.23	0.54
Bats Y Exchange	2.57	3.71	0.00	0.00	81	81	0	0	0	100.00	0.00	0.00
New York Stock Exchange	2.38	0.00	48.08	0.00	75	0	75	0	0	0.00	100.00	0.00
G1 Execution Services	2.16	3.07	0.64	0.00	68	67	1	0	0	98.53	1.47	0.00
National Financial Servic	1.97	2.79	0.64	0.00	62	61	1	0	0	98.39	1.61	0.00
Two Sigma Securities, LLC	1.72	2.38	1.28	0.00	54	52	2	0	0	96.30	3.70	0.00
Nasdaq Execution Services	1.43	0.00	0.00	5.58	45	0	0	45	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	65.16	3.10	31.75	5,100	3,323	158	1,619	0	65.16	3.10	31.75
Nasdaq Execution Services	26.59	0.00	0.00	83.76	1,356	0	0	1,356	0	0.00	0.00	100.00
Euro Pacific Capital, Inc	25.98	37.53	0.00	4.82	1,325	1,247	0	78	0	94.11	0.00	5.89
VIRTU Americas LLC	18.35	26.81	27.85	0.06	936	891	44	1	0	95.19	4.70	0.11
Citadel Securities	16.31	24.10	19.62	0.00	832	801	31	0	0	96.27	3.73	0.00
Electronic Brokerage Syst	3.25	0.00	0.00	10.25	166	0	0	166	0	0.00	0.00	100.00
G1 Execution Services	2.31	3.40	3.16	0.00	118	113	5	0	0	95.76	4.24	0.00
National Financial Servic	1.86	2.77	1.27	0.06	95	92	2	1	0	96.84	2.11	1.05
Two Sigma Securities, LLC	1.82	2.74	1.27	0.00	93	91	2	0	0	97.85	2.15	0.00
Bats Y Exchange	0.94	1.41	0.63	0.00	48	47	1	0	0	97.92	2.08	0.00
Instinet Corp	0.80	1.23	0.00	0.00	41	41	0	0	0	100.00	0.00	0.00

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	88.35	5.01	6.64	738	652	37	49	0	88.35	5.01	6.64
Citadel Securities	34.15	38.19	5.41	2.04	252	249	2	1	0	98.81	0.79	0.40
VIRTU Americas LLC	34.01	37.58	13.51	2.04	251	245	5	1	0	97.61	1.99	0.40
Euro Pacific Capital, Inc	9.49	5.67	35.14	40.82	70	37	13	20	0	52.86	18.57	28.57
Bats Y Exchange	6.64	7.52	0.00	0.00	49	49	0	0	0	100.00	0.00	0.00
G1 Execution Services	3.93	4.29	2.70	0.00	29	28	1	0	0	96.55	3.45	0.00
Two Sigma Securities, LLC	3.79	4.29	0.00	0.00	28	28	0	0	0	100.00	0.00	0.00
Nasdaq Execution Services	2.44	0.00	5.41	32.65	18	0	2	16	0	0.00	11.11	88.89
Electronic Brokerage Syst	1.49	0.00	0.00	22.45	11	0	0	11	0	0.00	0.00	100.00
National Financial Servic	1.22	1.38	0.00	0.00	9	9	0	0	0	100.00	0.00	0.00
Nasdaq Option Market	1.22	0.00	24.32	0.00	9	0	9	0	0	0.00	100.00	0.00

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

Exchange-Listed Options

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	2.22	97.78	0.00	675	15	660	0	0	2.22	97.78	0.00
Philadelphia Exch	29.33	40.00	29.09	0.00	198	6	192	0	0	3.03	96.97	0.00
Nasdaq Option Market	16.59	0.00	16.97	0.00	112	0	112	0	0	0.00	100.00	0.00
International Securities Exchange	16.15	0.00	16.52	0.00	109	0	109	0	0	0.00	100.00	0.00
Chicago Board Options Exchange	11.56	60.00	10.45	0.00	78	9	69	0	0	11.54	88.46	0.00
Archipelago LLC	10.81	0.00	11.06	0.00	73	0	73	0	0	0.00	100.00	0.00
BATS Stock Exchange	5.48	0.00	5.61	0.00	37	0	37	0	0	0.00	100.00	0.00
MIAX Options Exchange	3.70	0.00	3.79	0.00	25	0	25	0	0	0.00	100.00	0.00
Boston Options Exchange	2.67	0.00	2.73	0.00	18	0	18	0	0	0.00	100.00	0.00
DirectEdge ECN (EDGX)	2.22	0.00	2.27	0.00	15	0	15	0	0	0.00	100.00	0.00
NYSE MKT	1.48	0.00	1.52	0.00	10	0	10	0	0	0.00	100.00	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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