

**SEC Rule 606 Report - COR Clearing - 4th Qtr, 2019**

(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 (%)
<b>Total</b>	<b>100.00</b>	<b>42.99</b>	<b>30.64</b>	<b>26.37</b>	<b>842</b>	<b>362</b>	<b>258</b>	<b>222</b>	<b>0</b>	<b>42.99</b>	<b>30.64</b>	<b>26.37</b>
UBS Securities LLC	33.02	28.73	33.33	39.64	278	104	86	88	0	37.41	30.94	31.65
Canaccord Genuity Inc	28.74	30.94	31.01	22.52	242	112	80	50	0	46.28	33.06	20.66
Citadel Securities	26.60	29.83	22.48	26.13	224	108	58	58	0	48.21	25.89	25.89
Goldman Sachs Exec&Clear	11.64	10.50	13.18	11.71	98	38	34	26	0	38.78	34.69	26.53

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 (%)
<b>Total</b>	<b>100.00</b>	<b>31.18</b>	<b>37.06</b>	<b>31.76</b>	<b>340</b>	<b>106</b>	<b>126</b>	<b>108</b>	<b>0</b>	<b>31.18</b>	<b>37.06</b>	<b>31.76</b>
Canaccord Genuity Inc	30.00	26.42	33.33	29.63	102	28	42	32	0	27.45	41.18	31.37
Goldman Sachs Exec&Clear	26.47	32.08	20.63	27.78	90	34	26	30	0	37.78	28.89	33.33
UBS Securities LLC	22.35	20.75	25.40	20.37	76	22	32	22	0	28.95	42.11	28.95
Citadel Securities	20.00	20.75	20.63	18.52	68	22	26	20	0	32.35	38.24	29.41
CPPT	1.18	0.00	0.00	3.70	4	0	0	4	0	0.00	0.00	100.00

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 (%)
<b>Total</b>	<b>100.00</b>	<b>57.14</b>	<b>21.43</b>	<b>21.43</b>	<b>56</b>	<b>32</b>	<b>12</b>	<b>12</b>	<b>0</b>	<b>57.14</b>	<b>21.43</b>	<b>21.43</b>
Citadel Securities	39.29	31.25	66.67	33.33	22	10	8	4	0	45.45	36.36	18.18
Canaccord Genuity Inc	35.71	37.50	33.33	33.33	20	12	4	4	0	60.00	20.00	20.00
UBS Securities LLC	25.00	31.25	0.00	33.33	14	10	0	4	0	71.43	0.00	28.57

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 (%)
<b>Total</b>	<b>100.00</b>	<b>16.20</b>	<b>83.80</b>	<b>0.00</b>	<b>432</b>	<b>70</b>	<b>362</b>	<b>0</b>	<b>0</b>	<b>16.20</b>	<b>83.80</b>	<b>0.00</b>
Citadel Securities	60.19	54.29	61.33	0.00	260	38	222	0	0	14.62	85.38	0.00
Susquehanna Investment Gr	39.81	45.71	38.67	0.00	172	32	140	0	0	18.60	81.40	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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