

Quarterly Order Routing Statistics: MDB Capital Group LLC
Date: 01-JUL-2017 - 30-SEP-2017

NYSE Listed Securities

Orders# Non-Dir	Orders% Non-Dir	Orders# Direct	Orders% Direct	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%	Venue	Routed orders#	Routed orders%	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%
6	100.0%	0	0.0%	1	16.7%	5	83.3%	0	0.0%									
										NYSE	3	50.0%	1	100.0%	2	40.0%	0	0.0%
										VIRTUDP	1	16.7%	0	0.0%	1	20.0%	0	0.0%
										BYX	1	16.7%	0	0.0%	1	20.0%	0	0.0%
										IB_ATS	1	16.7%	0	0.0%	1	20.0%	0	0.0%

Nasdaq Stock Market securities

Orders# Non-Dir	Orders% Non-Dir	Orders# Direct	Orders% Direct	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%	Venue	Routed orders#	Routed orders%	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%
1622	100.0%	0	0.0%	28	1.7%	1592	98.2%	2	0.1%									
										ISLAND	1,221	75.3%	10	35.7%	1,211	76.1%	0	0.0%
										IB_ATS	108	6.7%	4	14.3%	103	6.5%	1	50.0%
										DRCTEDGE	85	5.2%	2	7.1%	83	5.2%	0	0.0%
										BYX	42	2.6%	1	3.6%	41	2.6%	0	0.0%
										UBSDARK	35	2.2%	1	3.6%	34	2.1%	0	0.0%
										ARCA	32	2.0%	4	14.3%	28	1.8%	0	0.0%
										BATS	25	1.5%	0	0.0%	25	1.6%	0	0.0%
										NITEECN	18	1.1%	2	7.1%	16	1.0%	0	0.0%
										CITADELDP	13	0.8%	1	3.6%	12	0.8%	0	0.0%
										ITG	13	0.8%	0	0.0%	13	0.8%	0	0.0%
										NITEEXST	9	0.6%	2	7.1%	7	0.4%	0	0.0%
										BEX	5	0.3%	0	0.0%	5	0.3%	0	0.0%
										PSX	4	0.2%	0	0.0%	4	0.3%	0	0.0%
										VIRTUDP	4	0.2%	1	3.6%	3	0.2%	0	0.0%
										DDO	4	0.2%	0	0.0%	4	0.3%	0	0.0%
										JANE	2	0.1%	0	0.0%	1	0.1%	1	50.0%
										EDGEA	1	0.1%	0	0.0%	1	0.1%	0	0.0%
										CSFBRCROSS	1	0.1%	0	0.0%	1	0.1%	0	0.0%

Securities listed on Amex or any other national securities exchange

Orders# Non-Dir	Orders% Non-Dir	Orders# Direct	Orders% Direct	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%	Venue	Routed orders#	Routed orders%	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%
11	100.0%	0	0.0%	0	0.0%	11	100.0%	0	0.0%									
										DRCTEDGE	5	45.5%	0	0.0%	5	45.5%	0	0.0%
										AMEX	2	18.2%	0	0.0%	2	18.2%	0	0.0%
										IB_ATS	1	9.1%	0	0.0%	1	9.1%	0	0.0%
										JANE	1	9.1%	0	0.0%	1	9.1%	0	0.0%
										VIRTUDP	1	9.1%	0	0.0%	1	9.1%	0	0.0%
										ARCA	1	9.1%	0	0.0%	1	9.1%	0	0.0%

Listed Options

Orders# Non-Dir	Orders% Non-Dir	Orders# Direct	Orders% Direct	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%	Venue	Routed orders#	Routed orders%	Market orders#	Market orders%	Limit orders#	Limit orders%	Other orders#	Other orders%
61	100.0%	0	0.0%	1	1.6%	25	41.0%	35	57.4%									
										CBOE	25	41.0%	1	100.0%	5	20.0%	19	54.3%
										PSE	12	19.7%	0	0.0%	7	28.0%	5	14.3%
										TSE	5	8.2%	0	0.0%	0	0.0%	5	14.3%
										AMEX	5	8.2%	0	0.0%	4	16.0%	1	2.9%
										NASDAQOMX	4	6.6%	0	0.0%	3	12.0%	1	2.9%
										PHILX	3	4.9%	0	0.0%	0	0.0%	3	8.6%
										MIAX	2	3.3%	0	0.0%	2	8.0%	0	0.0%
										MERCURY	2	3.3%	0	0.0%	2	8.0%	0	0.0%
										BOX	1	1.6%	0	0.0%	1	4.0%	0	0.0%
										CBOE2	1	1.6%	0	0.0%	0	0.0%	1	2.9%
										EDGX	1	1.6%	0	0.0%	1	4.0%	0	0.0%

EXCHANGE NAME ABBREVIATIONS

AMEX NYSE MKT / NYSE Amex Options
ARCA NYSE Arca
BATS BATS Z-EXCHANGE
BEX NASDAQ OMX BX
BOX Boston Option Exchange

BATS Y Exchange
 CBOE Chicago Board Options Exchange
 CBOE2 Chicago Board Options Exchange 2
 CITADELDP Citadels Darkpool for US Equities
 CSFBCROSS CSFB CrossFinder
 DRCTEDGE BATS DIRECT EDGE
 EDGEA BATS EDGA Exchange
 EDGX BATS EDGX Exchange
 IB ATS Interactive Brokers Alternative Trading System
 ISE International Securities Exchange
 ISLAND Nasdaq
 ITG Investment Technology Group
 JANE Jane Street Execution Services LLC
 MERCURY ISE Mercury
 MIAX Miami Options Exchange
 NASDAQOM Nasdaq Options Market
 NITEECN KNIGHT LINK
 NITEEXST Knight Trading Exhaust Darkpool
 NYSE New York Stock Exchange
 PDQ PDQ ATS
 PHLX NASDAQ OMX PHLX
 PSE NYSE Arca Options
 PSX Nasdaq OMX PSX
 UBSDARK UBS Dark Pool
 VIRTUDP Virtu Financial Capital Markets LLC

ABBREVIATIONS

BASIC ORDER FLOW PROVIDER ROUTING REPORT

Orders# Non-Dir The number of total orders from the provider that were non-directed orders.
 Orders% Non-Dir The percentage of total orders from the provider that were non-directed orders.
 Orders# Direct The number of total orders from the provider that were directed orders.
 Orders% Direct The percentage of total orders from the provider that were directed orders.
 Market orders# The number of total non-directed customer orders that were market orders.
 Market orders% The percentage of total non-directed customer orders that were market orders.
 Limit orders# The number of total non-directed customer orders that were limit orders.
 Limit orders% The percentage of total non-directed customer orders that were limit orders.
 Other orders# The number of total non-directed customer orders that were special handling orders and any orders that must be executed on a particular tick or bid.
 Other orders% The percentage of total non-directed customer orders that were special handling orders and any orders that must be executed on a particular tick or bid.
 Venue List of the ten venues to which the largest number of total non-directed orders were routed for execution and of any venue to which more than five percent or more of non-directed orders were routed for execution
 Routed orders# The number of total non-directed orders routed to the venue

Routed orders%	The percentage of total non-directed orders routed to the venue
Market orders#	The number of total non-directed market orders routed to the venue
Market orders%	The percentage of total non-directed market orders routed to the venue
Limit orders#	The number of total non-directed limit orders routed to the venue
Limit orders%	The percentage of total non-directed limit orders routed to the venue
Other orders#	The number of total non-directed other orders routed to the venue. Other orders include special handling orders and any orders that must be executed on a particular tick or bid.
Other orders%	The percentage of total non-directed other orders routed to the venue. Other orders include special handling orders and any orders that must be executed on a particular tick or bid.