

Quarterly Order Routing Statistics: MDB Capital Group LLC
Date: 01-JUL-2019 - 30-SEP-2019

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%
56	100.0%	0	0.0%	34	60.7%	22	39.3%	0	0.0%									
										IB_ATS	23	41.1%	17	50.0%	6	27.3%	0	0.0%
										NYSE	15	26.8%	1	2.9%	14	63.6%	0	0.0%
										NITTECN	4	7.1%	4	11.8%	0	0.0%	0	0.0%
										CITADELDP	3	5.4%	3	8.8%	0	0.0%	0	0.0%
										ISLAND	3	5.4%	2	5.9%	1	4.5%	0	0.0%
										EDGFA	2	3.6%	1	2.9%	1	4.5%	0	0.0%
										TEXMID	2	3.6%	2	5.9%	0	0.0%	0	0.0%
										UBSDARK	1	1.8%	1	2.9%	0	0.0%	0	0.0%
										JANE	1	1.8%	1	2.9%	0	0.0%	0	0.0%
										RYX	1	1.8%	1	2.9%	0	0.0%	0	0.0%
										ARCA	1	1.8%	1	2.9%	0	0.0%	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%
1245	100.0%	0	0.0%	79	6.3%	1165	93.6%	1	0.1%									
										ISLAND	929	74.6%	26	32.9%	902	77.4%	1	100.0%
										IB_ATS	124	10.0%	31	39.2%	93	8.0%	0	0.0%
										UBSDARK	32	2.6%	3	3.8%	29	2.5%	0	0.0%
										CITADELDP	32	2.6%	8	10.1%	24	2.1%	0	0.0%
										BATS	24	1.9%	0	0.0%	24	2.1%	0	0.0%
										DRCTEDGE	21	1.7%	2	2.5%	19	1.6%	0	0.0%
										ARCA	17	1.4%	0	0.0%	17	1.5%	0	0.0%
										EDGFA	11	0.9%	2	2.5%	9	0.8%	0	0.0%
										NITTECN	10	0.8%	1	1.3%	9	0.8%	0	0.0%
										BYX	9	0.7%	0	0.0%	9	0.8%	0	0.0%
										JANE	8	0.6%	4	5.1%	4	0.3%	0	0.0%
										NITTEEXST	5	0.4%	1	1.3%	4	0.3%	0	0.0%
										VIRTUDD	5	0.4%	1	1.3%	4	0.3%	0	0.0%
										TEXMID	4	0.3%	0	0.0%	4	0.3%	0	0.0%
										HRIDP	4	0.3%	0	0.0%	4	0.3%	0	0.0%
										NYSE	3	0.2%	0	0.0%	3	0.3%	0	0.0%
										BEX	2	0.2%	0	0.0%	2	0.2%	0	0.0%
										CSFBXCROSS	2	0.2%	0	0.0%	2	0.2%	0	0.0%
										AMEX	1	0.1%	0	0.0%	1	0.1%	0	0.0%
										NYSENAT	1	0.1%	0	0.0%	1	0.1%	0	0.0%
										PDQ	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%
28	100.0%	0	0.0%	7	25.0%	21	75.0%	0	0.0%									
										ISLAND	13	46.4%	1	14.3%	12	57.1%	0	0.0%
										BATS	4	14.3%	1	14.3%	3	14.3%	0	0.0%
										DRCTEDGE	3	10.7%	1	14.3%	2	9.5%	0	0.0%
										JANE	3	10.7%	3	42.0%	0	0.0%	0	0.0%
										ARCA	3	10.7%	0	0.0%	3	14.3%	0	0.0%
										NITTEEXST	1	3.6%	1	14.3%	0	0.0%	0	0.0%
										CITADELDP	1	3.6%	0	0.0%	1	4.8%	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%
122	100.0%	0	0.0%	88	72.1%	34	27.9%	0	0.0%									
										PEARL	23	18.9%	21	23.9%	2	5.9%	0	0.0%
										EDGX	22	18.0%	21	23.9%	1	2.9%	0	0.0%
										AMEX	18	14.6%	2	2.3%	16	47.1%	0	0.0%
										TSE	15	12.3%	15	17.0%	0	0.0%	0	0.0%
										PSE	12	9.6%	5	5.7%	7	20.6%	0	0.0%
										CRDE2	10	8.2%	9	10.2%	1	2.9%	0	0.0%
										MASDAQOM	8	6.6%	3	3.4%	5	14.7%	0	0.0%
										BATS	5	4.1%	5	5.7%	0	0.0%	0	0.0%
										MIAX	4	3.3%	4	4.5%	0	0.0%	0	0.0%
										ROX	2	1.6%	2	2.3%	0	0.0%	0	0.0%
										EMERALD	1	0.8%	0	0.0%	1	2.9%	0	0.0%
										GEMINI	1	0.8%	0	0.0%	1	2.9%	0	0.0%
										MERCURY	1	0.8%	1	1.1%	0	0.0%	0	0.0%

AMEX	NYSE MKT / NYSE Amex Options
ARCA	NYSE Arca
BATS	BATS Z-EXCHANGE
BEX	NASDAQ OMX BX
BOX	Boston Option Exchange
BYX	BATS Y 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
EMERALD	MIAX EMERALD Exchange
GEMINI	ISE Gemini
HRTDP	Hudson River Trading Darkpool
IB ATS	Interactive Brokers Alternative Trading System
IEXMID	IEX Midpoint
ISE	International Securities Exchange
ISLAND	Nasdaq
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
NYSENAT	NYSE National
PDQ	PDQ ATS
PEARL	MIAX PEARL Exchange
PSE	NYSE Arca Options
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

Other orders%	on a particular tick or bid. 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.