

Quarterly Order Routing Statistics: MDB Capital Group LLC
Date: 01-JUL-2016 - 30-SEP-2016

NYSE Listed Securities

<u>Orders#</u> <u>Non-Dir</u>	<u>Orders%</u> <u>Non-Dir</u>	<u>Orders#</u> <u>Direct</u>	<u>Orders%</u> <u>Direct</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>	<u>Venue</u>	<u>Routed</u> <u>orders#</u>	<u>Routed</u> <u>orders%</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>
17	100.0%	0	0.0%	5	29.4%	12	70.6%	0	0.0%									
										NYSE	7	41.2%	0	0.0%	7	58.3%	0	0.0%
										IB_ATS	4	23.5%	2	40.0%	2	16.7%	0	0.0%
										ITG	2	11.8%	1	20.0%	1	8.3%	0	0.0%
										EDGEA	1	5.9%	1	20.0%	0	0.0%	0	0.0%
										CSFBCROSS	1	5.9%	1	20.0%	0	0.0%	0	0.0%
										NITEECN	1	5.9%	0	0.0%	1	8.3%	0	0.0%
										CITAEELDP	1	5.9%	0	0.0%	1	8.3%	0	0.0%

Nasdaq Stock Market securities

<u>Orders#</u> <u>Non-Dir</u>	<u>Orders%</u> <u>Non-Dir</u>	<u>Orders#</u> <u>Direct</u>	<u>Orders%</u> <u>Direct</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>	<u>Venue</u>	<u>Routed</u> <u>orders#</u>	<u>Routed</u> <u>orders%</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>
210	100.0%	0	0.0%	47	22.4%	162	77.1%	1	0.5%									
										ARCA	78	37.1%	3	6.4%	75	46.3%	0	0.0%
										IB_ATS	49	23.3%	20	42.6%	29	17.9%	0	0.0%
										ISLAND	42	20.0%	15	31.9%	27	16.7%	0	0.0%
										NITEECN	10	4.8%	1	2.1%	9	5.6%	0	0.0%
										DRCTEDGE	8	3.8%	3	6.4%	5	3.1%	0	0.0%
										CITAEELDP	8	3.8%	4	8.5%	3	1.9%	1	100.0%
										BATS	6	2.9%	0	0.0%	6	3.7%	0	0.0%
										CSFBCROSS	4	1.9%	0	0.0%	4	2.5%	0	0.0%
										BYX	2	1.0%	0	0.0%	2	1.2%	0	0.0%
										UBSDARK	1	0.5%	0	0.0%	1	0.6%	0	0.0%
										EDGEA	1	0.5%	0	0.0%	1	0.6%	0	0.0%
										PDQ	1	0.5%	1	2.1%	0	0.0%	0	0.0%

Securities listed on Amex or any other national securities exchange

<u>Orders#</u> <u>Non-Dir</u>	<u>Orders%</u> <u>Non-Dir</u>	<u>Orders#</u> <u>Direct</u>	<u>Orders%</u> <u>Direct</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>	<u>Venue</u>	<u>Routed</u> <u>orders#</u>	<u>Routed</u> <u>orders%</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>
0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%									

Listed Options

<u>Orders#</u> <u>Non-Dir</u>	<u>Orders%</u> <u>Non-Dir</u>	<u>Orders#</u> <u>Direct</u>	<u>Orders%</u> <u>Direct</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>	<u>Venue</u>	<u>Routed</u> <u>orders#</u>	<u>Routed</u> <u>orders%</u>	<u>Market</u> <u>orders#</u>	<u>Market</u> <u>orders%</u>	<u>Limit</u> <u>orders#</u>	<u>Limit</u> <u>orders%</u>	<u>Other</u> <u>orders#</u>	<u>Other</u> <u>orders%</u>
27	100.0%	0	0.0%	0	0.0%	27	100.0%	0	0.0%									
										PSE	9	33.3%	0	0.0%	9	33.3%	0	0.0%
										GEMINI	7	25.9%	0	0.0%	7	25.9%	0	0.0%
										CBOE	4	14.8%	0	0.0%	4	14.8%	0	0.0%
										ISE	2	7.4%	0	0.0%	2	7.4%	0	0.0%
										BATS	2	7.4%	0	0.0%	2	7.4%	0	0.0%
										NASDAQOM	1	3.7%	0	0.0%	1	3.7%	0	0.0%
										MIAX	1	3.7%	0	0.0%	1	3.7%	0	0.0%
										NASDAQBX	1	3.7%	0	0.0%	1	3.7%	0	0.0%

ARCA	NYSE Arca
BATS	BATS Z-EXCHANGE
BYX	BATS Y Exchange
CBOE	Chicago Board Options Exchange
CITADELDP	Citadels Darkpool for US Equities
CSFBCROSS	CSFB CrossFinder
DRCTEDGE	BATS DIRECT EDGE
EDGEA	BATS EDGA Exchange
GEMINI	ISE Gemini
IB ATS	Interactive Brokers Alternative Trading System
ISE	International Securities Exchange
ISLAND	Nasdaq
ITG	Investment Technology Group
MIAX	Miami Options Exchange
NASDAQBX	NASDAQ OMX BX Options Exchange
NASDAQOM	Nasdaq Options Market
NITEECN	KNIGHT LINK
NYSE	New York Stock Exchange
PDQ	PDQ ATS
PSE	NYSE Arca Options
UBSDARK	UBS Dark Pool

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	The number of total non-directed customer orders that were

orders#	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.

