

Quarterly Order Routing Statistics: MDB Capital Group LLC
Date: 01-JUL-2018 - 30-SEP-2018

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%
21	100.0%	0	0.0%	0	0.0%	21	100.0%	0	0.0%									
										NYSE	16	76.2%	0	0.0%	16	76.2%	0	0.0%
										IB_ATS	3	14.3%	0	0.0%	3	14.3%	0	0.0%
										BYX	1	4.8%	0	0.0%	1	4.8%	0	0.0%
										NITEECH	1	4.8%	0	0.0%	1	4.8%	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%
2949	100.0%	0	0.0%	131	4.4%	2817	95.5%	1	0.0%									
										ISLAND	2,207	74.8%	71	54.2%	2,135	75.8%	1	100.0%
										IB_ATS	217	7.4%	26	19.8%	191	6.8%	0	0.0%
										DRCTEDGE	145	4.9%	4	3.1%	141	5.0%	0	0.0%
										UBSDARK	104	3.5%	13	9.9%	91	3.2%	0	0.0%
										CITADELDP	80	2.7%	5	3.8%	75	2.7%	0	0.0%
										ARCA	65	2.2%	2	1.5%	63	2.2%	0	0.0%
										BATS	31	1.1%	2	1.5%	29	1.0%	0	0.0%
										VIRTUDP	23	0.8%	1	0.8%	22	0.8%	0	0.0%
										BEX	17	0.6%	1	0.8%	16	0.6%	0	0.0%
										RYX	15	0.5%	1	0.8%	14	0.5%	0	0.0%
										NITEECH	11	0.4%	3	2.3%	8	0.3%	0	0.0%
										TEXMID	10	0.3%	2	1.5%	8	0.3%	0	0.0%
										CSFBXCROSS	7	0.2%	0	0.0%	7	0.2%	0	0.0%
										NITEEXST	5	0.2%	0	0.0%	5	0.2%	0	0.0%
										EDGEA	4	0.1%	0	0.0%	4	0.1%	0	0.0%
										AMEX	2	0.1%	0	0.0%	2	0.1%	0	0.0%
										NYSENAT	2	0.1%	0	0.0%	2	0.1%	0	0.0%
										NYSE	2	0.1%	0	0.0%	2	0.1%	0	0.0%
										PSX	1	0.0%	0	0.0%	1	0.0%	0	0.0%
										PDQ	1	0.0%	0	0.0%	1	0.0%	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%
13	100.0%	0	0.0%	5	38.5%	8	61.5%	0	0.0%									
										IB_ATS	3	23.1%	1	20.0%	2	25.0%	0	0.0%
										AMEX	2	15.4%	0	0.0%	2	25.0%	0	0.0%
										ARCA	2	15.4%	0	0.0%	2	25.0%	0	0.0%
										BEX	1	7.7%	0	0.0%	1	12.5%	0	0.0%
										DRCTEDGE	1	7.7%	1	20.0%	0	0.0%	0	0.0%
										ISLAND	1	7.7%	1	20.0%	0	0.0%	0	0.0%
										JANE	1	7.7%	1	20.0%	0	0.0%	0	0.0%
										CITADELDP	1	7.7%	0	0.0%	1	12.5%	0	0.0%
										BATS	1	7.7%	1	20.0%	0	0.0%	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%
9	100.0%	0	0.0%	0	0.0%	9	100.0%	0	0.0%									
										PSE	4	44.4%	0	0.0%	4	44.4%	0	0.0%
										NASDAQOM	3	33.3%	0	0.0%	3	33.3%	0	0.0%
										AMEX	1	11.1%	0	0.0%	1	11.1%	0	0.0%
										BATS	1	11.1%	0	0.0%	1	11.1%	0	0.0%

EXCHANGE NAME ABBREVIATIONS

AMEX NYSE MKT / NYSE Amex Options
ARCA NYSE Arca
BATS BATS Z-EXCHANGE
BEX NASDAQ OMX BX
BYX BATS Y Exchange
CITADELDP Citadels Darkpool for US Equities
CSFBXCROSS CSFB CrossFinder

RCTEDGE BATS DIRECT EDGE
 EDGEA BATS EDGA Exchange
 IB ATS Interactive Brokers Alternative Trading System
 IEXMID IEX Midpoint
 ISLAND Nasdaq
 JANE Jane Street Execution Services LLC
 NASDAQOM Nasdaq Options Market
 NITEECN KNIGHT LINK
 NITEEXST Knight Trading Exhaust Darkpool
 NYSE New York Stock Exchange
 NYSEAT NYSE National
 PDQ PDQ ATS
 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.