

Quarterly Order Routing Statistics: MDB Capital Group LLC
Date: 01-OCT-2016 - 31-DEC-2016

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%
0	0.0%	0	0.0%	0	0.0%	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%
219	100.0%	0	0.0%	3	1.4%	215	98.2%	1	0.5%									
										ARCA	83	37.9%	1	33.3%	82	38.1%	0	0.0%
										ISLAND	61	27.9%	1	33.3%	59	27.4%	1	100.0%
										IB_ATS	37	16.9%	0	0.0%	37	17.2%	0	0.0%
										DRCTEDGE	19	8.7%	1	33.3%	18	8.4%	0	0.0%
										UBSDARK	6	2.7%	0	0.0%	6	2.8%	0	0.0%
										BATS	3	1.4%	0	0.0%	3	1.4%	0	0.0%
										BYX	2	0.9%	0	0.0%	2	0.9%	0	0.0%
										ITG	2	0.9%	0	0.0%	2	0.9%	0	0.0%
										NITEECN	2	0.9%	0	0.0%	2	0.9%	0	0.0%
										IEX	1	0.5%	0	0.0%	1	0.5%	0	0.0%
										VIRTUDP	1	0.5%	0	0.0%	1	0.5%	0	0.0%
										PDQ	1	0.5%	0	0.0%	1	0.5%	0	0.0%
										CSFB_CROSS	1	0.5%	0	0.0%	1	0.5%	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%
4	100.0%	0	0.0%	1	25.0%	3	75.0%	0	0.0%									
										ARCA	2	50.0%	0	0.0%	2	66.7%	0	0.0%
										JANE	1	25.0%	1	100.0%	0	0.0%	0	0.0%
										NITEECN	1	25.0%	0	0.0%	1	33.3%	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%
37	100.0%	0	0.0%	0	0.0%	37	100.0%	0	0.0%									
										PSE	18	48.6%	0	0.0%	18	48.6%	0	0.0%
										CBOE	5	13.5%	0	0.0%	5	13.5%	0	0.0%
										GEMINI	4	10.8%	0	0.0%	4	10.8%	0	0.0%
										BATS	3	8.1%	0	0.0%	3	8.1%	0	0.0%
										BOX	2	5.4%	0	0.0%	2	5.4%	0	0.0%
										MIAX	2	5.4%	0	0.0%	2	5.4%	0	0.0%
										CBOE2	1	2.7%	0	0.0%	1	2.7%	0	0.0%
										EDGX	1	2.7%	0	0.0%	1	2.7%	0	0.0%
										PHLX	1	2.7%	0	0.0%	1	2.7%	0	0.0%

EXCHANGE NAME ABBREVIATIONS

ARCA NYSE Arca
 BATS BATS Z-EXCHANGE
 BOX Boston Option Exchange
 BYX BATS Y Exchange
 CBOE Chicago Board Options Exchange
 CBOE2 Chicago Board Options Exchange 2
 CSFB_CROSS CSFB CrossFinder
 DRCTEDGE BATS DIRECT EDGE
 EDGX BATS EDGX Exchange
 GEMINI ISE Gemini
 IB_ATS Interactive Brokers Alternative Trading System
 IEX Investors Exchange
 ISLAND Nasdaq
 ITG Investment Technology Group
 JANE Jane Street Execution Services LLC
 MIAX Miami Options Exchange
 NITEECN KNIGHT LINK
 PDQ PDQ ATS
 PHLX NASDAQ OMX PHLX

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	The number of total non-directed other orders routed to the

orders# 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.