



## KING – SEC Rule 606 Quarterly Report

Quarter: 3Q

Year: 2018

### NYSE Listed

Total customer orders as a percentage	65
Non-directed orders as a % of total customer orders	65
Market orders as a % of total non-directed orders	0
Limit orders as a % of total non-directed orders	0
Other orders as a % of total non-directed orders	100

### **Significant Venues (% of non-directed orders):**

2	NASDAQ	28.4
2	Clear Pool Group	24
1	Sungard Brokerage Services	13.9
1	NYSE ARCA	12.5
1	First Boston Credit Suisse	12.1

### NYSE Market and Regional Exchange

Total customer orders as a percentage	2
Non-directed orders as a % of total customer orders	2
Market orders as a % of total non-directed orders	0
Limit orders as a % of total non-directed orders	0
Other orders as a % of total non-directed orders	100

### **Significant Venues (% of non-directed orders):**

1	NASDAQ	29
2	Clear Pool Group	29
3	Sungard Brokerage Services	25.8
2	NYSE ARCA	12.9

### NASDAQ Listed

Total customer orders as a percentage	33
Non-directed orders as a % of total customer orders	33
Market orders as a % of total non-directed orders	0
Limit orders as a % of total non-directed orders	0
Other orders as a % of total non-directed orders	100

### **Significant Venues (% of non-directed orders):**

1	Clear Pool Group	45.7
2	NASDAQ	42.8
1	First Boston Credit Suisse	3.7

### **Note:**

- 1 - Executed by a broker independent of KING and paid an execution fee
- 2 – Displayed or executed through an ECN where KING pays a fee
- 3 – Executed directly with a market maker

Inquiries may be made regarding the routing of individual trades by contacting Richard Gimon at 518-431-3500 or via email at [rgimon@clking.com](mailto:rgimon@clking.com). Written copies of this report will be furnished free of charge upon request.