

**Order Routing Quarterly  
Report SEC Rule 606 Order Routing Information:**

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**Report For Period 10/1/2018 To 12/31/2018**

STOCK USA EXECUTION SERVICES, INC. (Stock USA) has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available reports on their order-routing practices. The report provides information on the routing of "non-directed orders" (any order that the customer has not specifically instructed to be routed to a particular venue for execution).

This report is divided into three sections: one for securities listed on the New York Stock Exchange, one for securities listed on The NASDAQ Stock Market, one for securities listed on the American Stock Exchange or regional exchanges. For each section, this report identifies the number of non-directed orders as a percentage of total customer orders.

# SEC Rule 606 Report

10/1/2018 to 12/31/18

**Non Directed Orders as a Percentage of Total Orders in NYSE, Nasdaq, Amex** **10.99%**

## Network A Securities - NYSE

**Non Directed as a Percentage of Total Customer orders in NYSE, Nasdaq, Amex** **2.57%**

**Non Directed as a Percentage of Total Customer orders in NYSE Securities** **14.26%**

| Percentage to Venue | Total Non-Directed Orders | Market        |              | Limit        |              | Other |       |
|---------------------|---------------------------|---------------|--------------|--------------|--------------|-------|-------|
|                     |                           | Market Orders | Limit Orders | Limit Orders | Other Orders |       |       |
| CUTS                | 73.70%                    |               | 100.00%      | 20.61%       | 79.39%       |       | 0.00% |
| PDQ                 | 0.29%                     |               | 0.00%        | 0.00%        | 0.36%        |       | 0.00% |
| POSTT               | 26.01%                    |               | 0.00%        | 0.00%        | 32.20%       |       | 0.00% |

## Nasdaq Securities

**Non Directed as a Percentage of Total Customer orders in NYSE, Nasdaq, Amex** **7.29%**

**Non Directed as a Percentage of Total Customer orders in Nasdaq Securities** **10.46%**

| Percentage to Venue | Total Non-Directed Orders | Market        |              | Limit        |              | Other |       |
|---------------------|---------------------------|---------------|--------------|--------------|--------------|-------|-------|
|                     |                           | Market Orders | Limit Orders | Limit Orders | Other Orders |       |       |
| CUTS                | 68.20%                    |               | 94.28%       | 25.49%       | 74.51%       |       | 0.00% |
| INET                | 0.08%                     |               | 0.23%        | 0.23%        | 0.03%        |       | 0.00% |
| PDQ                 | 0.24%                     |               | 0.11%        | 0.11%        | 0.27%        |       | 0.00% |
| POSTT               | 28.13%                    |               | 0.00%        | 0.00%        | 36.48%       |       | 0.00% |
| SPDRX               | 3.35%                     |               | 5.38%        | 5.38%        | 2.75%        |       | 0.00% |

## Network B Securities - NYSE Amex and Regional Exchanges

**Non Directed as a Percentage of Total Customer orders in NYSE, Nasdaq, Amex** **1.13%**

**Non Directed as a Percentage of Total Customer orders in Amex and Regional Securities** **9.20%**

| Percentage to Venue | Total Non-Directed Orders | Market        |              | Limit        |              | Other |       |
|---------------------|---------------------------|---------------|--------------|--------------|--------------|-------|-------|
|                     |                           | Market Orders | Limit Orders | Limit Orders | Other Orders |       |       |
| CUTS                | 66.90%                    |               | 89.93%       | 28.90%       | 71.10%       |       | 0.00% |
| INET                | 0.89%                     |               | 3.60%        | 3.60%        | 0.00%        |       | 0.00% |
| POSTT               | 26.69%                    |               | 0.00%        | 0.00%        | 35.46%       |       | 0.00% |
| SPDRX               | 5.52%                     |               | 6.47%        | 6.47%        | 5.20%        |       | 0.00% |

## Exchange-Listed Options

| Percentage to Venue | Total Non-Directed Orders | Market        |              | Limit        |              | Other |       |
|---------------------|---------------------------|---------------|--------------|--------------|--------------|-------|-------|
|                     |                           | Market Orders | Limit Orders | Limit Orders | Other Orders |       |       |
|                     |                           |               |              | 0.00%        | 0.00%        |       | 0.00% |

## **ORDER ROUTING QUARTERLY REPORT SEC RULE 606**

In accordance with Regulation NMS Rule 606(b)(1) a customer can request that SUSA disclose the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any that resulted from such orders.

HARD COPY OF THIS REPORT IS AVAILABLE UPON REQUEST - FREE OF CHARGE. Price Improvement is available under certain market conditions. SUSA posts quarterly order routing execution reports at: [www.speedtraderpro.com](http://www.speedtraderpro.com). For additional information or to request a "Hard Copy" or "Identity of the Venue Disclosure", please contact Stock USA Execution Services, Inc., via email: [info@stockusa.com](mailto:info@stockusa.com), fax: 845-622-4878, telephone: 800-874-3039, live chat: [www.speedtraderpro.com](http://www.speedtraderpro.com), or U.S mail: 1717 Route 6, Attention: Compliance, Carmel, NY 10512.