

# SEC Rule 606 Report - COR Clearing LLC – 1st Qtr. 2018

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

## Securities Listed on New York Stock Exchange Euronext

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total (%)</b>	<b>100.00</b>	<b>3.34</b>	<b>0.00</b>	<b>96.66</b>
UBS Securities LLC	69.43	65.06	0.00	69.58
Citadel Securities	27.19	31.33	0.00	27.05

100.00% of total customer orders were non-directed orders.

## Securities Listed on The Nasdaq Stock Market

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total (%)</b>	<b>100.00</b>	<b>3.75</b>	<b>0.00</b>	<b>96.25</b>
Citadel Securities	70.52	60.87	0.00	70.90
UBS Securities LLC	29.32	39.13	0.00	28.93

100.00% of total customer orders were non-directed orders.

## Securities Listed on NYSE MKT or other National Securities Exchange

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total (%)</b>	<b>100.00</b>	<b>1.28</b>	<b>0.00</b>	<b>98.72</b>
Citadel Securities	73.54	88.89	0.00	73.34
UBS Securities LLC	25.32	11.11	0.00	25.50

100.00% of total customer orders were non-directed orders.

## Exchange-Listed Options

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total (%)</b>	<b>100.00</b>	<b>0.00</b>	<b>100.00</b>	<b>0.00</b>
Susquehanna Investment Gr	100.00	0.00	100.00	0.00

## [Material Aspects of Relationship with Route Venues](#)

### [How to read this report](#)

The U.S. Securities and Exchange Commission (SEC) Disclosure of Order Handling Information Rule 606, requires all broker-dealers that route orders in equity and options securities to make available quarterly reports that present a general overview of their routing practices. The reports must identify the significant venues to which the client orders were routed for execution during the applicable quarter and disclose the material aspects of the broker-dealer's relationship with such venues.

Pursuant to Rule 606, COR Clearing, LLC (COR) is making available this quarterly report on its order routing practices. Accordingly, the report captures only a portion of COR's order flow and is intended only to provide an overview of COR's order routing practices. The data is not a reliable basis upon which to assess whether COR or any trading venue to which COR routes orders has satisfied its best execution obligation. You should note that, the data has not been audited and may contain errors. COR does not guarantee or represent that this report is accurate or complete. Any decision about whether to open an account or direct orders to COR should not be based solely on the information presented in these reports, but on a broader evaluation of the full range of services and products COR offers. COR receives compensation or other consideration for directing a portion of the order flow to broker-dealers, exchanges, or other market centers.

