

LOOP CAPITAL MARKETS
SEC RULE 606 DISCLOSURES

SEC Rule 606 promulgated under the Securities Exchange Act of 1934 requires broker-dealers that route customer orders in equity and option securities to publish quarterly reports (“606 Reports”) that provide an overview of the broker-dealer’s order routing practices.

The 606 Reports disclose, among other things, information on the broker-dealer’s routing of “non-directed orders.” Each section of the 606 Report identifies which venues Loop Capital Markets (“LCM” or the “Firm”) selected to route its customer orders; setting forth the various types of orders and percentages thereof routed to such venues. The Firm does not engage in options trading and therefore did not route any options trades for execution.

LCM Standard Order Routing System (MPID – LOOP) – See Attachment A
LCM Alternate Order Routing System (MPID – LCMC) – See Attachment B

The SEC has interpreted Rule 606 to allow a single broker-dealer to prepare two or more 606 Reports that correspond to functional differences in the broker-dealer’s routing practices, so long as the separate 606 Reports provide a clearer picture of the broker-dealer’s routing practices and the basis for the separate 606 Reports is fully disclosed to customers and the public. Accordingly, LCM has decided to prepare separate 606 Reports as the Firm believes that separating its 606 Reports will provide its customers and the public with a clearer picture of its routing practices. Generally, if a customer routes an order to LCM’s Institutional Equity Trading Desk, the appropriate 606 Report reflecting LCM’s Standard Order Routing System (MPID – LOOP) will provide an overview of the Firm’s routing practices related such orders. If a customer has coordinated with LCM to use an alternative order routing system, the appropriate 606 Report reflecting LCM Alternate Order Routing System (MPID – LCMC) will provide an overview of the Firm’s routing practices as it pertains to such orders.

LCM believes there is no material aspect regarding the Firm’s relationships with any execution venue requiring disclosure on the 606 Reports provided herein.

ATTACHMENT A

fidessa SEC Rule 606 - Order Routing Disclosure

Report: FID606 Firm Name: Loop Capital

Run on: 29 Sep, 2017 at 20:45

Activity Date: 09/29/2017

Quarter Starting On: 07/01/2017

Exchange: ASE and All Other National Exchanges

Non-Directed Customer Orders as a Percentage of Total Customer Orders Having a Market Value Less Than \$200,000: 100.00%

Non-Directed Customer Orders That Were:	Market	Limit	Other including "Not Held"
	Percentage	Percentage	Percentage
	0.00%	0.00%	100.00%

Venue	Total Non-Directed Orders Percentage	Non-Directed Market Orders Percentage	Non-Directed Limit Orders Percentage	Non-Directed Other Orders Percentage
CLEARPOOL EXECUTION SERVICES, LLC:	6.37%	0.00%	0.00%	6.37%
Credit Suisse Securities (USA) LLC: FBCO	37.37%	0.00%	0.00%	37.37%
FIS BROKERAGE & SECURITIES SERVICES	9.77%	0.00%	0.00%	9.77%
INSTINET, LLC: INCA	9.13%	0.00%	0.00%	9.13%
MERRILL LYNCH, PIERCE, FENNER & SMITH	23.99%	0.00%	0.00%	23.99%
RBC CAPITAL MARKETS, LLC : RBCM	5.73%	0.00%	0.00%	5.73%

Exchange: NASDAQ Stock Exchange Securities (NAS)

Non-Directed Customer Orders as a Percentage of Total Customer Orders Having a Market Value Less Than \$200,000: 100.00%

Non-Directed Customer Orders That Were:	Market	Limit	Other including "Not Held"
	Percentage	Percentage	Percentage
	0.00%	0.00%	100.00%

Venue	Total Non-Directed Orders Percentage	Non-Directed Market Orders Percentage	Non-Directed Limit Orders Percentage	Non-Directed Other Orders Percentage
CLEARPOOL EXECUTION SERVICES, LLC:	6.66%	0.00%	0.00%	6.66%
Citadel Derivatives Group LLC : CCMX:	3.20%	0.00%	0.00%	3.20%

Citadel Securities LLC : CDRG	6.50%	0.00%	0.00%	6.50%
Credit Suisse Securities (USA) LLC: FBCO	21.64%	0.00%	0.00%	21.64%
FIS BROKERAGE & SECURITIES SERVICES	8.70%	0.00%	0.00%	8.70%
INSTINET, LLC: INCA	4.38%	0.00%	0.00%	4.38%
ITG Inc. : ITGI	9.30%	0.00%	0.00%	9.30%
MERRILL LYNCH, PIERCE, FENNER & SMITH	26.82%	0.00%	0.00%	26.82%
RBC CAPITAL MARKETS, LLC : RBCM	5.93%	0.00%	0.00%	5.93%

Exchange: New York Stock Exchange Securities (NYSE)

Non-Directed Customer Orders as a Percentage of Total Customer Orders Having a Market Value Less Than \$200,000: 100.00%

Non-Directed Customer Orders That Were:	Market	Limit	Other including "Not Held"
	Percentage	Percentage	Percentage
	0.00%	0.00%	100.00%

Venue	Total Non-Directed Orders Percentage	Non-Directed Market Orders Percentage	Non-Directed Limit Orders Percentage	Non-Directed Other Orders Percentage
CLEARPOOL EXECUTION SERVICES, LLC :	5.03%	0.00%	0.00%	5.03%
Citadel Securities LLC : CDRG	6.93%	0.00%	0.00%	6.93%
Credit Suisse Securities (USA) LLC : FBCO	16.88%	0.00%	0.00%	16.88%
FIS BROKERAGE & SECURITIES SERVICES	10.39%	0.00%	0.00%	10.39%
INSTINET, LLC : INCA	5.05%	0.00%	0.00%	5.05%
ITG Inc. : ITGI	6.29%	0.00%	0.00%	6.29%
MERRILL LYNCH, PIERCE, FENNER & SMITH	35.24%	0.00%	0.00%	35.24%
RBC CAPITAL MARKETS, LLC : RBCM	5.87%	0.00%	0.00%	5.87%

End of SEC Rule 606 - Order Routing Disclosure Report

ATTACHMENT B



SEC Reg NMS RULE 606

Quarterly Report Ending September 30, 2017

All Exchanges Summary Statistics

Percentage of customer orders that were non-directed	100%
percentage of non-directed orders that were market orders	0.88%
percentage of non-directed orders that were limit orders	99.12%
percentage of non-directed orders that were other orders	0.00%

ATTACHMENT B



SEC Reg NMS RULE 606

Quarterly Report Ending September 30, 2017

NYSE

Percentage of customer orders that were non-directed	100%
percentage of non-directed orders that were market orders	0.59%
percentage of non-directed orders that were limit orders	99.41%
percentage of non-directed orders that were other orders	0.00%

	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Weeden	0.59%	100.00%	0.01%	0.00%
Instinet	99.41%	0.00%	99.99%	0.00%
Material Aspects With Venues	None			

ATTACHMENT B



SEC Reg NMS RULE 606

Quarterly Report Ending September 30, 2017

Nasdaq

Percentage of customer orders that were non-directed	100%
percentage of non-directed orders that were market orders	4.01%
percentage of non-directed orders that were limit orders	95.99%
percentage of non-directed orders that were other orders	0.00%

	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Weeden	4.04%	100.00%	0.03%	0.00%
Instinet	95.96%	0.00%	99.97%	0.00%
Material Aspects With Venues	None			

ATTACHMENT B



SEC Reg NMS RULE 606

Quarterly Report Ending September 30, 2017

AMEX

Percentage of customer orders that were non-directed	100%
percentage of non-directed orders that were market orders	0.04%
percentage of non-directed orders that were limit orders	99.96%
percentage of non-directed orders that were other orders	0.00%

	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Weeden	0.04%	100.00%	0.00%	0.00%
Instinet	99.96%	0.00%	100.00%	0.00%
Material Aspects With Venues	None			

ATTACHMENT B



SEC Reg NMS RULE 606

Quarterly Report Ending September 30, 2017

Options

Percentage of customer orders that were non-directed	0%
percentage of non-directed orders that were market orders	0.00%
percentage of non-directed orders that were limit orders	0.00%
percentage of non-directed orders that were other orders	0.00%

Non-Directed Orders

Market Orders

Limit Orders

Other Orders

Material Aspects With Venues

None