



## **Firsttrade Rule 606 Disclosure: 2017 Q4**

Firsttrade Securities Inc. (Firsttrade) has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make available to the public quarterly reports about 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. For these non-directed orders, Firsttrade has selected the execution venue on behalf of its customers.

The report is divided into four sections:

1. New York Stock Exchange listed securities
2. Nasdaq Stock Market listed securities
3. NYSE MKT Exchange and regional exchanges listed securities
4. Exchange listed options

For each section, this report identifies the venues most often selected by Firsttrade, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects of Firsttrade's relationship with the venues.

Questions regarding this report should be addressed to the Firsttrade Compliance Department.

## 1. New York Stock Exchange Securities

For quarter ending 12/31/2017				
Routing Venue	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Apex Clearing Corporation	37.13%	30.36%	41.63%	33.47%
Credit Suisse	62.87%	69.64%	58.37%	66.53%

### Summary Statistics:

Please refer to our Clearing Agent, Apex Clearing Corporation for detailed Routing Information at:

<https://www.apexclearing.com/disclosures/sec-rule-606-and-607/>

Payments received from Apex Clearing Corporation averaged less than \$0.00086 per share for the period 4Q 2017.

Payments received from Credit Suisse averaged less than \$0.00145 per share for the period 4Q 2017.

## 2. NASDAQ Stock Exchange Securities

For quarter ending 12/31/2017				
Routing Venue	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Apex Clearing Corporation	32.41%	25.73%	36.93%	27.43%
Credit Suisse	67.59%	74.27%	63.07%	72.57%

### Summary Statistics:

Please refer to our Clearing Agent, Apex Clearing Corporation for detailed Routing Information at:

<https://www.apexclearing.com/disclosures/sec-rule-606-and-607/>

Payments received from Apex Clearing Corporation averaged less than \$0.00086 per share for the period 4Q 2017.

Payments received from Credit Suisse averaged less than \$0.00145 per share for the period 4Q 2017.

### 3. NYSE MKT / Regional Stock Exchange Securities

For quarter ending 12/31/2017				
Routing Venue	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Apex Clearing Corporation	43.03%	28.29%	49.66%	31.76%
Credit Suisse	56.97%	71.71%	50.34%	68.24%

Summary Statistics:

Please refer to our Clearing Agent, Apex Clearing Corporation for detailed Routing Information at:

<https://www.apexclearing.com/disclosures/sec-rule-606-and-607/>

Payments received from Apex Clearing Corporation averaged less than \$0.00086 per share for the period 4Q 2017.

Payments received from Credit Suisse averaged less than \$0.00145 per share for the period 4Q 2017.

#### 4. Exchange Listed Options

For quarter ending 12/31/2017				
Routing Venue	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Apex Clearing Corporation	100%	100%	100%	100%

Summary Statistics:

Please refer to our Clearing Agent, Apex Clearing Corporation for detailed Routing Information at:

<https://www.apexclearing.com/disclosures/sec-rule-606-and-607/>

Payments received from Apex Clearing Corporation averaged less than \$0.2234 per contract for the period 4Q 2017.