

Report for Apex Clearing Corporation
SEC Rule 606 Report Disclosure
3rd Quarter, 2016

NYSE Listed Securities				
Orders routed to:	Non-Directed Orders	Market Orders	Limit Orders	Other Orders*
KCG Americas, LLC	26.43%	31.74%	18.86%	90.92%
Arxis Capital Group, LLC.	25.20%	34.24%	24.63%	0.00%
Wolverine Execution Services LLC	19.00%	18.13%	21.00%	0.00%
Instinet, LLC	15.77%	0.01%	22.20%	0.01%
Citadel Securities LLC	8.29%	9.27%	7.90%	9.07%
Total Orders	97.48%	22.53%	71.00%	6.48%

* Orders for which customer requests special handling

NASDAQ Listed Securities				
Orders routed to:	Non-Directed Orders	Market Orders	Limit Orders	Other Orders*
KCG Americas, LLC	35.10%	39.53%	29.65%	90.79%
Instinet, LLC	20.75%	0.06%	27.02%	0.01%
Arxis Capital Group, LLC.	18.29%	27.24%	17.76%	0.00%
Wolverine Execution Services LLC	14.79%	18.54%	15.14%	0.00%
Citadel Securities LLC	7.09%	9.17%	6.46%	9.20%
Total Orders	97.51%	17.11%	76.74%	6.14%

* Orders for which customer requests special handling

Securities Listed on NYSE MKT/Regional Exchanges				
Orders routed to:	Non-Directed Orders	Market Orders	Limit Orders	Other Orders*
KCG Americas, LLC	44.40%	54.84%	38.15%	90.72%
Instinet, LLC	24.67%	0.05%	33.20%	0.03%
Citadel Securities LLC	19.57%	31.25%	17.14%	9.25%
Arxis Capital Group, LLC.	6.80%	9.14%	6.66%	0.00%
Total Orders	94.69%	20.30%	74.25%	5.45%

* Orders for which customer requests special handling

Exchange-Listed Options				
Orders routed to:	Non-Directed Orders	Market Orders	Limit Orders	Other Orders*
Citadel Securities LLC	30.69%	32.71%	30.51%	33.57%
Citigroup Global Markets Inc.	26.87%	17.46%	27.71%	14.56%
Wolverine Execution Services LLC	21.50%	13.55%	22.22%	7.25%
LiquidPoint, LLC	10.79%	21.57%	9.81%	30.07%
Susquehanna Capital Group	8.47%	14.01%	7.99%	14.18%
Total Orders	32.61%	7.62%	91.95%	0.43%

* Orders for which customer requests special handling

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

