

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

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 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: 30 Sep. 2019 at 20:31

Activity Date: 09/30/2019

Quarter Starting On: 07/01/2019

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	6.27%	0.00%	0.00%	6.27%
Citadel Securities LLC: CDRG	16.42%	0.00%	0.00%	16.42%
Credit Suisse Securities (USA) LLC: FBCO	14.63%	0.00%	0.00%	14.63%
INSTINET, LLC: INCA	3.88%	0.00%	0.00%	3.88%
MERRILL LYNCH, PIERCE, FENNER & SMIT	34.63%	0.00%	0.00%	34.63%
PRIME BROKER – MSCO	16.12%	0.00%	0.00%	16.12%
RBC CAPITAL MARKETS, LLC: RBCM	8.06%	0.00%	0.00%	8.06%

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	7.46%	0.00%	0.00%	7.46%
Citadel Securities LLC: CDRG	12.28%	0.00%	0.00%	12.28%

Credit Suisse Securities (USA) LLC: FBCO	5.88%	0.00%	0.00%	5.88%
INSTINET, LLC: INCA	2.22%	0.00%	0.00%	2.22%
MERRILL LYNCH, PIERCE, FENNER & SMIT	57.71%	0.00%	0.00%	57.71%
PRIME BROKER – MSCO	11.21%	0.00%	0.00%	11.21%
RBC CAPITAL MARKETS, LLC: RBCM	2.99%	0.00%	0.00%	2.99%

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	7.69%	0.00%	0.00%	7.69%
Citadel Securities LLC: CDRG	12.14%	0.00%	0.00%	12.14%
Credit Suisse Securities (USA) LLC: FBCO	5.46%	0.00%	0.00%	5.46%
INSTINET, LLC: INCA	1.86%	0.00%	0.00%	1.86%
MERRILL LYNCH, PIERCE, FENNER & SMIT	56.95%	0.00%	0.00%	56.95%
PRIME BROKER – MSCO	12.53%	0.00%	0.00%	12.53%
RBC CAPITAL MARKETS, LLC: RBCM	3.03%	0.00%	0.00%	3.03%

End of SEC Rule 606 - Order Routing Disclosure Report