

# Trade Manage Capital, Inc.

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**SEC-Required Report on Routing of Customer Orders For Quarter Ending 2017/06/30**

## **Securities Listed on New York Stock Exchange / Network A Eligible Security**

### **Summary Statistics**

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.0 % |
| Market orders as percentage of total non-directed orders   | 13.60 % |
| Limit orders as percentage of total non-directed orders    | 86.40 % |
| Other orders as percentage of total non-directed orders    | 0.00 %  |

### **Venues Receiving Significant Percentage of Total Non-Directed Orders:**

|      |        |
|------|--------|
| BARC | 34.8 % |
| ITGI | 15.5 % |
| TRIM | 12.1 % |
| GSCO | 10.9 % |
| ARCA | 8.6 %  |

### **Information Concerning Significant Venues :**

#### **1 BARC**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 8.92 %  |
| Limit orders as percentage of total limit orders   | 38.86 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This market center may provide rebates for providing liquidity which may offset charges for taking liquidity.

#### **2 ITGI**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 28.26 % |
| Limit orders as percentage of total limit orders   | 13.44 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with

Venue:

This Contra will route orders on our behalf to market centers of their own choosing based on best-execution.

### 3 TRIM

Types of Orders Routed to

Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 36.22 % |
| Limit orders as percentage of total limit orders   | 8.23 %  |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with

Venue:

This Contra is used for AMEX/NYSE orders that trade on the Third Market.

### 4 GSCO

Types of Orders Routed to

Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 4.51 %  |
| Limit orders as percentage of total limit orders   | 11.87 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with

Venue:

This Contra will route orders on our behalf to market centers of their own choosing based on best-execution

### 5 ARCA

Types of Orders Routed to

Venue:

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 0.11 % |
| Limit orders as percentage of total limit orders   | 9.96 % |
| Other orders as percentage of total other orders   | 0.00 % |

Material aspects of Relationship with

Venue:

This market center may provide rebates for providing liquidity which may offset charges for taking liquidity. This may be the case for all market centers which are ECNs.

## Securities Listed on The NASDAQ Stock Market /

### Summary Statistics

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 99.3 %  |
| Market orders as percentage of total non-directed orders   | 11.90 % |
| Limit orders as percentage of total non-directed orders    | 88.10 % |
| Other orders as percentage of total non-directed orders    | 0.00 %  |

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

|       |        |
|-------|--------|
| BARC  | 28.0 % |
| NITE  | 13.9 % |
| ARCAP | 13.4 % |
| ITGI  | 12.1 % |
| GSCO  | 11.5 % |

**Information Concerning Significant Venues :**

**1 BARC**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 3.66 %  |
| Limit orders as percentage of total limit orders   | 31.26 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This market center may provide rebates for providing liquidity which may offset charges for taking liquidity.

**2 NITE**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 37.90 % |
| Limit orders as percentage of total limit orders   | 10.60 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This Contra is used for OTC orders that trade on the Third Market.

**3 ARCA**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 0.00 %  |
| Limit orders as percentage of total limit orders   | 15.16 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This market center may provide rebates for providing liquidity which may offset charges for taking liquidity. This may be the case for all market centers which are ECNs.

**4 ITGI**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 34.72 % |
| Limit orders as percentage of total limit orders   | 8.99 %  |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This Contra will route orders on our behalf to market centers of their own choosing based on best-execution.

## 5 GSCO

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 4.24 %  |
| Limit orders as percentage of total limit orders   | 12.44 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This Contra will route orders on our behalf to market centers of their own choosing based on best-execution

### **Securities Listed on American Stock Exchange or Regional Exchanges / Network B Eligible Security**

#### **Summary Statistics**

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.0 % |
| Market orders as percentage of total non-directed orders   | 40.70 % |
| Limit orders as percentage of total non-directed orders    | 59.30 % |
| Other orders as percentage of total non-directed orders    | 0.00 %  |

#### **Venues Receiving Significant Percentage of Total Non-Directed Orders:**

|      |        |
|------|--------|
| ITGI | 45.9 % |
| TRIM | 23.2 % |
| BARC | 13.2 % |
| CTDL | 5.0 %  |
| BRUT | 4.3 %  |

#### **Information Concerning Significant Venues :**

##### **1 ITGI**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 34.57 % |
| Limit orders as percentage of total limit orders   | 53.65 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This Contra will route orders on our behalf to market centers of their own choosing based on best-execution.

**2 TRIM**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 50.53 % |
| Limit orders as percentage of total limit orders   | 4.38 %  |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This Contra is used for AMEX/NYSE orders that trade on the Third Market.

**3 BARC**

Types of Orders Routed to  
Venue:

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 0.53 %  |
| Limit orders as percentage of total limit orders   | 21.90 % |
| Other orders as percentage of total other orders   | 0.00 %  |

Material aspects of Relationship with  
Venue:

This market center may provide rebates for providing liquidity which may offset charges for taking liquidity.

**4 CTDL**

Types of Orders Routed to  
Venue:

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 9.04 % |
| Limit orders as percentage of total limit orders   | 2.19 % |
| Other orders as percentage of total other orders   | 0.00 % |

Material aspects of Relationship with  
Venue:

This Contra will route orders on our behalf to market centers of their own choosing based on best-execution.

**5 BRUT**

Types of Orders Routed to  
Venue:

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 3.19 % |
| Limit orders as percentage of total limit orders   | 5.11 % |
| Other orders as percentage of total other orders   | 0.00 % |

Material aspects of Relationship with  
Venue:

This market center may provide rebates for providing liquidity which may offset charges for taking liquidity.

This may be the case for all market centers which are ECNs.

## Exchange Listed Options

### Summary Statistics

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.0 % |
| Market orders as percentage of total non-directed orders   | 79.50 % |
| Limit orders as percentage of total non-directed orders    | 20.50 % |
| Other orders as percentage of total non-directed orders    | 0.00 %  |

### Venues Receiving Significant Percentage of Total Non-Directed Orders:

|      |         |
|------|---------|
| AMEX | 100.0 % |
|------|---------|

### Information Concerning Significant Venues :

#### 1 AMEX

Types of Orders Routed to  
Venue:

|  |          |
|--|----------|
| Market orders as percentage of total market orders | 100.00 % |
| Limit orders as percentage of total limit orders   | 100.00 % |
| Other orders as percentage of total other orders   | 0.00 %   |

Material aspects of Relationship with  
Venue:

This venue denotes orders sent to the floor of the AMEX where a \$2 Broker may handle the order.