

Report for eRoom Securities, LLC SEC Rule 606 Report Disclosure

4th Quarter 2018

NYSE Listed Securities				
	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Total Orders	0	0	0	0

MASDAQ Listed Securities				
	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Total Orders	0	0	0	0

Securities Listed on NYSE MKT/Regional Exchanges				
	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Total Orders	0	0	0	0

Exchange Listed Options				
Orders Routed to:	Non-Directed Orders	Market Orders	Limit Orders	Other Orders
Apex Clearing Corp	100%	0.10%	99.90%	0.00%
Total Orders	4.93%	0.10%	99.90%	0.00%

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

eRoom Securities LLC (“eRoom”) routes orders in equities and exchange listed options to various market participants including exchanges, executing brokers, and market makers. eRoom gives its clients the ability to direct orders to the market participant of their choice or to utilize eRoom’s smart order router (“SOR”) which makes the routing decision for the client with the objectives of obtaining best execution, protecting client anonymity, and maintaining routing redundancy. Orders sent to eRoom’s SOR are considered “non-directed” while all other orders are considered “directed”. In the third quarter of 2018, eRoom routed non-directed orders in exchange listed options to Apex Clearing and DASH Financial. On some orders eRoom pays a routing or exchange fee while on other orders it receives compensation for directing order flow. This compensation constitutes payment for order flow and the amount received varies based on the specifics of the option contract traded. eRoom, upon written request, will provide information related to client orders that were routed for execution in the past six months. This information will include the market participant to which the order was routed, whether the order was directed or nondirected, and the time of the transaction, if any, that resulted from such order.