

1ST GLOBAL CAPITAL CORP.  
PO BOX 743248  
DALLAS, TX 75374

**SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2017**

**Securities Listed on New York Stock Exchange**

**Summary Statistics:**

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	97.47%
Limit orders as percentage of total limit orders	2.08%
Other orders as percentage of total other orders	0.45%

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

1. VIRTU Americas LLC	38.01%
2. Citadel Securities LLC	37.39%
3. Two Sigma Securities, LLC	7.51%
4. National Financial Services LLC	5.98%
5. G1 Execution Services, LLC	3.98%
6. BATS BYX Exchange	2.84%
7. Instinet LLC	1.52%
8. UBS Securities, LLC	0.59%
9. WOLVERINE SECURITIES, LLC	0.57%
10. BNY Mellon Capital Markets LLC	0.44%

**Information Concerning Significant Venues :**

1. VIRTU Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	38.61%
Limit orders as percentage of total limit orders	16.88%
Other orders as percentage of total other orders	5.88%

2. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	37.51%
Limit orders as percentage of total limit orders	22.61%
Other orders as percentage of total other orders	80.88%

3. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.65%
Limit orders as percentage of total limit orders	2.55%
Other orders as percentage of total other orders	0.00%

4. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	6.10%
Limit orders as percentage of total limit orders	1.91%
Other orders as percentage of total other orders	0.00%

5. G1 Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.05%
Limit orders as percentage of total limit orders	1.59%
Other orders as percentage of total other orders	0.00%

6. BATS BYX Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.91%
Limit orders as percentage of total limit orders	0.32%
Other orders as percentage of total other orders	0.00%

7. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.54%
Limit orders as percentage of total limit orders	0.64%
Other orders as percentage of total other orders	0.00%

8. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.56%
Limit orders as percentage of total limit orders	0.64%
Other orders as percentage of total other orders	7.35%

9. WOLVERINE SECURITIES, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.58%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. BNY Mellon Capital Markets LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.45%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

## Securities Listed on The Nasdaq Stock Market

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	95.89%
Limit orders as percentage of total limit orders	3.76%
Other orders as percentage of total other orders	0.35%

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

1. VIRTU Americas LLC	38.81%
2. Citadel Securities LLC	38.23%
3. Two Sigma Securities, LLC	7.56%
4. G1 Execution Services, LLC	4.02%
5. National Financial Services LLC	3.61%
6. BATS BYX Exchange	2.76%
7. EDGX Exchange, Inc.	1.00%
8. Instinet LLC	0.84%
9. BATS BZX Exchange	0.80%
10. NASDAQ Execution Services, LLC	0.74%

### Information Concerning Significant Venues :

#### 1. VIRTU Americas LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	39.69%
Limit orders as percentage of total limit orders	16.46%
Other orders as percentage of total other orders	37.93%

#### 2. Citadel Securities LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	39.25%
Limit orders as percentage of total limit orders	10.44%
Other orders as percentage of total other orders	58.62%

#### 3. Two Sigma Securities, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.82%
Limit orders as percentage of total limit orders	1.58%
Other orders as percentage of total other orders	0.00%

#### 4. G1 Execution Services, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.12%
Limit orders as percentage of total limit orders	1.90%
Other orders as percentage of total other orders	0.00%

5. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.69%
Limit orders as percentage of total limit orders	1.90%
Other orders as percentage of total other orders	0.00%

6. BATS BYX Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.88%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. EDGX Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	26.58%
Other orders as percentage of total other orders	0.00%

8. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.88%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. BATS BZX Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	21.20%
Other orders as percentage of total other orders	0.00%

10. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	19.62%
Other orders as percentage of total other orders	0.00%

## Securities Listed on NYSE MKT or Regional Exchanges

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	98.50%
Limit orders as percentage of total limit orders	1.03%
Other orders as percentage of total other orders	0.47%

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

1. Citadel Securities LLC	40.31%
2. VIRTU Americas LLC	37.38%
3. Two Sigma Securities, LLC	7.43%
4. G1 Execution Services, LLC	5.03%
5. BATS BYX Exchange	4.57%
6. National Financial Services LLC	1.83%
7. Instinet LLC	1.49%
8. UBS Securities, LLC	0.64%
9. BNY Mellon Capital Markets LLC	0.37%
10. WOLVERINE SECURITIES, LLC	0.37%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	40.34%
Limit orders as percentage of total limit orders	16.05%
Other orders as percentage of total other orders	86.49%

#### 2. VIRTU Americas LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	37.74%
Limit orders as percentage of total limit orders	19.75%
Other orders as percentage of total other orders	0.00%

#### 3. Two Sigma Securities, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.54%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

#### 4. G1 Execution Services, LLC

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	5.09%
Limit orders as percentage of total limit orders	1.23%
Other orders as percentage of total other orders	0.00%

5. BATS BYX Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.64%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.83%
Limit orders as percentage of total limit orders	2.47%
Other orders as percentage of total other orders	0.00%

7. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.50%
Limit orders as percentage of total limit orders	1.23%
Other orders as percentage of total other orders	0.00%

8. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.58%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	13.51%

9. BNY Mellon Capital Markets LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.37%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. WOLVERINE SECURITIES, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.36%
Limit orders as percentage of total limit orders	1.23%
Other orders as percentage of total other orders	0.00%

## Exchange - Listed Options

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	63.10%
Limit orders as percentage of total limit orders	36.74%
Other orders as percentage of total other orders	0.16%

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

1. NASDAQ PHLX Options	35.75%
2. The Chicago Board Options Exchange	24.38%
3. BOX Option Exchange	10.38%
4. The MIAX Options Exchange	8.90%
5. NASDAQ Options Market	8.57%
6. NYSE Amex Options	4.61%
7. ISE Gemini Options Exchange	2.47%
8. BZX Options Exchange, Inc.	1.81%
9. NYSE Arca Options	1.15%
10. NASDAQ BX Options	0.99%

### Information Concerning Significant Venues :

#### 1. NASDAQ PHLX Options

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	38.12%
Limit orders as percentage of total limit orders	31.84%
Other orders as percentage of total other orders	0.00%

#### 2. The Chicago Board Options Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	31.59%
Limit orders as percentage of total limit orders	11.66%
Other orders as percentage of total other orders	100.00%

#### 3. BOX Option Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	10.18%
Limit orders as percentage of total limit orders	10.76%
Other orders as percentage of total other orders	0.00%

#### 4. The MIAX Options Exchange

##### Types of Orders Routed to Venue :

Market orders as percentage of total market orders	8.36%
Limit orders as percentage of total limit orders	9.87%
Other orders as percentage of total other orders	0.00%

5. NASDAQ Options Market

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.31%
Limit orders as percentage of total limit orders	21.08%
Other orders as percentage of total other orders	0.00%

6. NYSE Amex Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	6.27%
Limit orders as percentage of total limit orders	1.79%
Other orders as percentage of total other orders	0.00%

7. ISE Gemini Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	6.73%
Other orders as percentage of total other orders	0.00%

8. BZX Options Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.04%
Limit orders as percentage of total limit orders	3.14%
Other orders as percentage of total other orders	0.00%

9. NYSE Arca Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.26%
Limit orders as percentage of total limit orders	2.69%
Other orders as percentage of total other orders	0.00%

10. NASDAQ BX Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.31%
Limit orders as percentage of total limit orders	0.45%
Other orders as percentage of total other orders	0.00%