

**Note: Broker-dealers are required to disclose any material arrangements with the venues listed in each section below, including, but not limited to, any internalization or payment for order flow arrangements.**

## HTX

**SUNBELT SECURITIES, INC.  
2700 POST OAK BLVD. STE 1700  
HOUSTON, TX 77056**

### SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2018

#### 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	94.87%
Limit orders as percentage of total limit orders	5.11%
Other orders as percentage of total other orders	0.02%

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

1. Citadel Securities LLC	38.84%
2. VIRTU Americas LLC	24.75%
3. National Financial Services LLC	14.15%
4. G1 Execution Services, LLC	13.04%
5. Two Sigma Securities, LLC	4.13%
6. Cboe EDGX U.S. Equities Exchange	1.58%
7. Cboe BYX U.S. Equities Exchange	1.11%
8. New York Stock Exchange	0.90%
9. UBS Securities, LLC	0.66%
10. NASDAQ Execution Services, LLC	0.56%

##### Information Concerning Significant Venues :

###### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	39.89%
Limit orders as percentage of total limit orders	19.49%
Other orders as percentage of total other orders	0.00%

###### 2. VIRTU Americas LLC

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

Market orders as percentage of total market orders	25.57%
Limit orders as percentage of total limit orders	9.56%
Other orders as percentage of total other orders	0.00%

3. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	14.85%
Limit orders as percentage of total limit orders	1.10%
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	13.55%
Limit orders as percentage of total limit orders	3.68%
Other orders as percentage of total other orders	0.00%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.24%
Limit orders as percentage of total limit orders	2.21%
Other orders as percentage of total other orders	0.00%

6. Cboe EDGX U.S. Equities 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	30.88%
Other orders as percentage of total other orders	0.00%

7. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.09%
Limit orders as percentage of total limit orders	1.47%
Other orders as percentage of total other orders	0.00%

8. New York Stock Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.06%
Limit orders as percentage of total limit orders	16.54%
Other orders as percentage of total other orders	0.00%

9. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.65%
Limit orders as percentage of total limit orders	0.37%
Other orders as percentage of total other orders	100.00%

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	11.03%
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	69.35%
Limit orders as percentage of total limit orders	30.30%
Other orders as percentage of total other orders	0.35%

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

1. VIRTU Americas LLC	34.99%
2. Citadel Securities LLC	31.56%
3. G1 Execution Services, LLC	7.84%
4. NASDAQ Execution Services, LLC	7.77%
5. Cboe EDGX U.S. Equities Exchange	7.70%
6. National Financial Services LLC	5.11%
7. Two Sigma Securities, LLC	2.94%
8. Cboe BZX U.S. Equities Exchange	0.77%
9. Cboe BYX U.S. Equities Exchange	0.70%
10. UBS Securities, LLC	0.63%

### Information Concerning Significant Venues :

#### 1. VIRTU Americas LLC

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

Market orders as percentage of total market orders	35.12%
Limit orders as percentage of total limit orders	34.87%
Other orders as percentage of total other orders	20.00%

#### 2. Citadel Securities LLC

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

Market orders as percentage of total market orders	41.07%
Limit orders as percentage of total limit orders	9.24%
Other orders as percentage of total other orders	80.00%

#### 3. G1 Execution Services, LLC

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

Market orders as percentage of total market orders	10.70%
Limit orders as percentage of total limit orders	1.39%
Other orders as percentage of total other orders	0.00%

#### 4. 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	25.64%
Other orders as percentage of total other orders	0.00%

5. Cboe EDGX U.S. Equities 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	25.40%
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	7.37%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.83%
Limit orders as percentage of total limit orders	0.92%
Other orders as percentage of total other orders	0.00%

8. Cboe BZX U.S. Equities 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	2.54%
Other orders as percentage of total other orders	0.00%

9. Cboe BYX U.S. Equities Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.01%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.91%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

## Securities Listed on NYSE American or Regional Exchanges

### Summary Statistics:

Non-directed orders as percentage of total customer orders	100.00%
Market orders as percentage of total market orders	88.99%
Limit orders as percentage of total limit orders	11.01%
Other orders as percentage of total other orders	0.00%

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

1. Citadel Securities LLC	43.07%
2. VIRTU Americas LLC	28.46%
3. G1 Execution Services, LLC	9.87%
4. Cboe BYX U.S. Equities Exchange	4.36%
5. Two Sigma Securities, LLC	3.98%
6. NYSE Arca	3.04%
7. Cboe EDGX U.S. Equities Exchange	2.28%
8. UBS Securities, LLC	1.90%
9. National Financial Services LLC	1.33%
10. NASDAQ Execution Services, LLC	1.33%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	47.12%
Limit orders as percentage of total limit orders	10.34%
Other orders as percentage of total other orders	0.00%

#### 2. VIRTU Americas LLC

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

Market orders as percentage of total market orders	30.49%
Limit orders as percentage of total limit orders	12.07%
Other orders as percentage of total other orders	0.00%

#### 3. G1 Execution Services, LLC

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

Market orders as percentage of total market orders	11.09%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

#### 4. Cboe BYX U.S. Equities Exchange

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

Market orders as percentage of total market orders	4.90%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

5. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.48%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. NYSE 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	27.59%
Other orders as percentage of total other orders	0.00%

7. Cboe EDGX U.S. Equities 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	20.69%
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	0.43%
Limit orders as percentage of total limit orders	13.79%
Other orders as percentage of total other orders	0.00%

9. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.49%
Limit orders as percentage of total limit orders	0.00%
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	12.07%
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	24.77%
Limit orders as percentage of total limit orders	75.23%
Other orders as percentage of total other orders	0.00%

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

1. ISE Gemini Options Exchange	18.35%
2. Cboe Options Exchange	14.68%
3. NASDAQ Options Market	14.68%
4. NASDAQ PHLX Options	14.68%
5. Cboe BZX Options Exchange, Inc.	11.01%
6. NYSE Arca Options	8.26%
7. BOX Option Exchange	6.42%
8. Cboe EDGX Option Exchange	5.50%
9. The MIAX Options Exchange	4.59%
10. NYSE American Options	1.83%

### Information Concerning Significant Venues :

#### 1. ISE Gemini Options Exchange

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

Market orders as percentage of total market orders	7.41%
Limit orders as percentage of total limit orders	21.95%
Other orders as percentage of total other orders	0.00%

#### 2. Cboe Options Exchange

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

Market orders as percentage of total market orders	40.74%
Limit orders as percentage of total limit orders	6.10%
Other orders as percentage of total other orders	0.00%

#### 3. NASDAQ Options Market

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

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	19.51%
Other orders as percentage of total other orders	0.00%

#### 4. NASDAQ PHLX Options

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

Market orders as percentage of total market orders	11.11%
Limit orders as percentage of total limit orders	15.85%
Other orders as percentage of total other orders	0.00%

5. Cboe BZX Options 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	14.63%
Other orders as percentage of total other orders	0.00%

6. NYSE Arca Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	10.98%
Other orders as percentage of total other orders	0.00%

7. BOX Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	25.93%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

8. Cboe EDGX Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.70%
Limit orders as percentage of total limit orders	6.10%
Other orders as percentage of total other orders	0.00%

9. The MIAX Options Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	7.41%
Limit orders as percentage of total limit orders	3.66%
Other orders as percentage of total other orders	0.00%

10. NYSE American Options

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.70%
Limit orders as percentage of total limit orders	1.22%
Other orders as percentage of total other orders	0.00%