

Pursuant to SEC rule 606 below is the list of counter parties to our exchange traded transactions.  
We receive no payment for order flow from any of these entities.

**AWS**  
**ARETE WEALTH MANAGEMENT**  
**1699 E. WOODFIELD RD, SUITE 565**  
**SCHAUMBURG, IL 60173**  
**SEC Rule 606 Quarterly Report for the Quarter Ending March 31, 2015**

**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 non-directed orders   | 89.71%  |
| Limit orders as percentage of total non-directed orders    | 6.86%   |
| Other orders as percentage of total non-directed orders    | 3.43%   |

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

|                                    |        |
|------------------------------------|--------|
| 1. KCG Americas LLC                | 36.00% |
| 2. Citadel Securities LLC          | 33.71% |
| 3. Goldman, Sachs & Co.            | 10.86% |
| 4. Instinet LLC                    | 6.29%  |
| 5. UBS Securities, LLC             | 5.71%  |
| 6. Arete Wealth Management         | 4.57%  |
| 7. National Financial Services LLC | 1.14%  |
| 8. Citigroup Global Markets, Inc.  | 0.57%  |
| 9. EDGX Exchange, Inc.             | 0.57%  |
| 10. Two Sigma Securities, LLC      | 0.57%  |

**Information Concerning Significant Venues :**

1. KCG Americas LLC

Types of Orders Routed to Venue :

|  |         |
|--|---------|
| Market orders as percentage of total market orders | 33.12%  |
| Limit orders as percentage of total limit orders   | 41.67%  |
| Other orders as percentage of total other orders   | 100.00% |

2. Citadel Securities LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 34.39% |
| Limit orders as percentage of total limit orders   | 41.67% |
| Other orders as percentage of total other orders   | 0.00%  |

|                                    |  |        |
|------------------------------------|--|--------|
| 3. Goldman, Sachs & Co.            |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 11.46% |
|                                    | Limit orders as percentage of total limit orders   | 8.33%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 4. Instinet LLC                    |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 7.01%  |
|                                    | Limit orders as percentage of total limit orders   | 0.00%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 5. UBS Securities, LLC             |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 6.37%  |
|                                    | Limit orders as percentage of total limit orders   | 0.00%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 6. Arete Wealth Management         |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 5.10%  |
|                                    | Limit orders as percentage of total limit orders   | 0.00%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 7. National Financial Services LLC |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 1.27%  |
|                                    | Limit orders as percentage of total limit orders   | 0.00%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 8. Citigroup Global Markets, Inc.  |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 0.64%  |
|                                    | Limit orders as percentage of total limit orders   | 0.00%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 9. 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   | 8.33%  |
|                                    | Other orders as percentage of total other orders   | 0.00%  |
| 10. Two Sigma Securities, LLC      |  |        |
|                                    | Types of Orders Routed to Venue :                  |        |
|                                    | Market orders as percentage of total market orders | 0.64%  |
|                                    | 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 non-directed orders   | 84.91%  |
| Limit orders as percentage of total non-directed orders    | 9.43%   |
| Other orders as percentage of total non-directed orders    | 5.66%   |

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

|                                   |        |
|-----------------------------------|--------|
| 1. KCG Americas LLC               | 37.74% |
| 2. Citadel Securities LLC         | 32.08% |
| 3. Goldman, Sachs & Co.           | 9.43%  |
| 4. Arete Wealth Management        | 7.55%  |
| 5. EDGX Exchange, Inc.            | 5.66%  |
| 6. UBS Securities, LLC            | 5.66%  |
| 7. Citigroup Global Markets, Inc. | 1.89%  |

### Information Concerning Significant Venues :

#### 1. KCG Americas LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 40.00% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 66.67% |

#### 2. Citadel Securities LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 33.33% |
| Limit orders as percentage of total limit orders   | 40.00% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 3. Goldman, Sachs & Co.

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

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

#### 4. Arete Wealth Management

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

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 8.89% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

#### 5. 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   | 60.00% |
| Other orders as percentage of total other orders   | 0.00%  |

6. UBS Securities, LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 4.44%  |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 33.33% |

7. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.22% |
| Limit orders as percentage of total limit orders   | 0.00% |
| 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 non-directed orders   | 97.24%  |
| Limit orders as percentage of total non-directed orders    | 1.72%   |
| Other orders as percentage of total non-directed orders    | 1.03%   |

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

|                                   |        |
|-----------------------------------|--------|
| 1. KCG Americas LLC               | 41.72% |
| 2. Citadel Securities LLC         | 35.17% |
| 3. Goldman, Sachs & Co.           | 11.38% |
| 4. UBS Securities, LLC            | 8.28%  |
| 5. Citigroup Global Markets, Inc. | 1.72%  |
| 6. Two Sigma Securities, LLC      | 1.03%  |
| 7. Instinet LLC                   | 0.69%  |

### Information Concerning Significant Venues :

#### 1. KCG Americas LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 41.84% |
| Limit orders as percentage of total limit orders   | 20.00% |
| Other orders as percentage of total other orders   | 66.67% |

#### 2. Citadel Securities LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 35.82% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 33.33% |

#### 3. Goldman, Sachs & Co.

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 10.28% |
| Limit orders as percentage of total limit orders   | 80.00% |
| Other orders as percentage of total other orders   | 0.00%  |

#### 4. UBS Securities, LLC

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

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 8.51% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

#### 5. Citigroup Global Markets, Inc.

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

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 1.77% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

6. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 1.06% |
| Limit orders as percentage of total limit orders   | 0.00% |
| 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 | 0.71% |
| Limit orders as percentage of total limit orders   | 0.00% |
| 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 non-directed orders   | 100.00% |
| Limit orders as percentage of total non-directed orders    | 0.00%   |
| Other orders as percentage of total non-directed orders    | 0.00%   |

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

|                              |         |
|------------------------------|---------|
| 1. The MIAX Options Exchange | 100.00% |
|------------------------------|---------|

**Information Concerning Significant Venues :**

1. The MIAX Options Exchange

Types of Orders Routed to Venue :

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