

**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.**

**AWS**  
**ARETE WEALTH MANAGEMENT**  
**1101 W LAKE ST, FIRST FLOOR**  
**CHICAGO IL 60607**

**SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 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	87.20%
Limit orders as percentage of total non-directed orders	5.69%
Other orders as percentage of total non-directed orders	7.11%

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

1. Citadel Securities LLC	40.76%
2. KCG Americas LLC	36.97%
3. UBS Securities, LLC	7.11%
4. Goldman, Sachs & Co.	5.21%
5. Citigroup Global Markets, Inc.	2.84%
6. BATS Y-Exchange, Inc.	1.90%
7. EDGX Exchange, Inc.	1.90%
8. Instinet LLC	1.42%
9. Arete Wealth Management	1.42%
10. New York Stock Exchange	0.47%

**Information Concerning Significant Venues :**

1. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	41.30%
Limit orders as percentage of total limit orders	8.33%
Other orders as percentage of total other orders	60.00%

2. KCG Americas LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	36.41%
Limit orders as percentage of total limit orders	41.67%
Other orders as percentage of total other orders	40.00%

3. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	8.15%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

4. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	5.43%
Limit orders as percentage of total limit orders	8.33%
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	3.26%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. BATS Y-Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.17%
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	33.33%
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	1.63%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Arete Wealth Management

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.63%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. New York Stock 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	8.33%
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	78.99%
Limit orders as percentage of total non-directed orders	15.22%
Other orders as percentage of total non-directed orders	5.80%

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

1. KCG Americas LLC	42.75%
2. Citadel Securities LLC	39.13%
3. UBS Securities, LLC	8.70%
4. Arete Wealth Management	5.80%
5. Citigroup Global Markets, Inc.	1.45%
6. BATS Y-Exchange, Inc.	0.72%
7. EDGX Exchange, Inc.	0.72%
8. Nasdaq	0.72%

### Information Concerning Significant Venues :

#### 1. KCG Americas LLC

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

Market orders as percentage of total market orders	33.03%
Limit orders as percentage of total limit orders	71.43%
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	47.71%
Limit orders as percentage of total limit orders	9.52%
Other orders as percentage of total other orders	0.00%

#### 3. UBS Securities, LLC

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

Market orders as percentage of total market orders	9.17%
Limit orders as percentage of total limit orders	9.52%
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	7.34%
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	1.83%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. BATS Y-Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.92%
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	4.76%
Other orders as percentage of total other orders	0.00%

8. Nasdaq

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	4.76%
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	95.53%
Limit orders as percentage of total non-directed orders	3.78%
Other orders as percentage of total non-directed orders	0.69%

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

1. Citadel Securities LLC	39.18%
2. KCG Americas LLC	38.14%
3. UBS Securities, LLC	8.93%
4. Citigroup Global Markets, Inc.	5.15%
5. Goldman, Sachs & Co.	4.47%
6. BATS Y-Exchange, Inc.	1.37%
7. EDGX Exchange, Inc.	1.03%
8. Instinet LLC	1.03%
9. National Financial Services LLC	0.34%
10. Two Sigma Securities, LLC	0.34%

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

Market orders as percentage of total market orders	41.01%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

#### 2. KCG Americas LLC

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

Market orders as percentage of total market orders	37.77%
Limit orders as percentage of total limit orders	36.36%
Other orders as percentage of total other orders	100.00%

#### 3. UBS Securities, LLC

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

Market orders as percentage of total market orders	8.99%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	0.00%

#### 4. Citigroup Global Markets, Inc.

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

Market orders as percentage of total market orders	4.32%
Limit orders as percentage of total limit orders	27.27%
Other orders as percentage of total other orders	0.00%

#### 5. Goldman, Sachs & Co.

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

Market orders as percentage of total market orders	4.68%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. BATS Y-Exchange, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.44%
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	27.27%
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	1.08%
Limit orders as percentage of total limit orders	0.00%
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	0.36%
Limit orders as percentage of total limit orders	0.00%
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	0.36%
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	13.33%
Limit orders as percentage of total non-directed orders	80.00%
Other orders as percentage of total non-directed orders	6.67%

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

1. NYSE Arca Options	46.67%
2. The Chicago Board Options Exchange	20.00%
3. Nasdaq Options Market	20.00%
4. The MIAX Options Exchange	6.67%
5. NASDAQ PHLX	6.67%

### Information Concerning Significant Venues :

#### 1. 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	58.33%
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	50.00%
Limit orders as percentage of total limit orders	16.67%
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	25.00%
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	50.00%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

#### 5. NASDAQ PHLX

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

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