

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.

SSG
SIGNATURE SECURITIES
29 WEST 38TH STREET
9TH FLOOR
NEW YORK, NY 10018

SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2009

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 | 64.65% |
| Limit orders as percentage of total non-directed orders | 19.16% |
| Other orders as percentage of total non-directed orders | 16.19% |

Venues Receiving Significant Percentage of Total Non-Directed Orders :

| | |
|------------------------------------------------------|--------|
| 1. Knight Capital Markets, L.L.C. | 36.92% |
| 2. Automated Trading Desk Financial Services, L.L.C. | 28.17% |
| 3. Citadel Derivatives Group LLC | 13.04% |
| 4. National Financial Services, L.L.C. | 10.59% |
| 5. UBS Securities, L.L.C. | 8.05% |
| 6. Citigroup Global Markets, Inc. | 1.57% |
| 7. NYSE Arca | 0.61% |
| 8. Direct Edge ECN L.L.C. | 0.52% |
| 9. New York Stock Exchange | 0.35% |
| 10. AlterNet Securities Inc. | 0.17% |

Information Concerning Significant Venues :

1. Knight Capital Markets, L.L.C.

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|--------|
| Market orders as percentage of total market orders | 32.61% |
| Limit orders as percentage of total limit orders | 41.10% |
| Other orders as percentage of total other orders | 49.19% |

2. Automated Trading Desk Financial Services, L.L.C.

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|--------|
| Market orders as percentage of total market orders | 28.69% |
| Limit orders as percentage of total limit orders | 21.46% |
| Other orders as percentage of total other orders | 34.05% |

| | | |
|----------------------------------------|----------------------------------------------------|--------|
| 3. Citadel Derivatives Group LLC | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 12.45% |
| | Limit orders as percentage of total limit orders | 18.26% |
| | Other orders as percentage of total other orders | 9.19% |
| 4. National Financial Services, L.L.C. | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 14.48% |
| | Limit orders as percentage of total limit orders | 6.39% |
| | Other orders as percentage of total other orders | 0.00% |
| 5. UBS Securities, L.L.C. | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 8.93% |
| | Limit orders as percentage of total limit orders | 5.48% |
| | Other orders as percentage of total other orders | 7.57% |
| 6. Citigroup Global Markets, Inc. | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 2.03% |
| | Limit orders as percentage of total limit orders | 1.37% |
| | Other orders as percentage of total other orders | 0.00% |
| 7. 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 | 3.20% |
| | Other orders as percentage of total other orders | 0.00% |
| 8. Direct Edge ECN L.L.C. | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 0.00% |
| | Limit orders as percentage of total limit orders | 2.74% |
| | Other orders as percentage of total other orders | 0.00% |
| 9. New York Stock Exchange | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 0.54% |
| | Limit orders as percentage of total limit orders | 0.00% |
| | Other orders as percentage of total other orders | 0.00% |
| 10. AlterNet Securities Inc. | | |
| | Types of Orders Routed to Venue : | |
| | Market orders as percentage of total market orders | 0.27% |
| | 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 | 61.45% |
| Limit orders as percentage of total non-directed orders | 26.65% |
| Other orders as percentage of total non-directed orders | 11.89% |

Venues Receiving Significant Percentage of Total Non-Directed Orders :

| | |
|------------------------------------------------------|--------|
| 1. Knight Equity Markets, L.P. | 40.75% |
| 2. UBS Securities, L.L.C. | 22.47% |
| 3. Automated Trading Desk Financial Services, L.L.C. | 17.18% |
| 4. Citadel Derivatives Group LLC | 12.78% |
| 5. National Financial Services, L.L.C. | 3.30% |
| 6. Citigroup Global Markets, Inc. | 3.08% |
| 7. BATS Trading, Inc. | 0.44% |

Information Concerning Significant Venues :

| | |
|------------------------------------------------------|--------|
| 1. Knight Equity Markets, L.P. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 36.20% |
| Limit orders as percentage of total limit orders | 51.24% |
| Other orders as percentage of total other orders | 40.74% |
| 2. UBS Securities, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 27.24% |
| Limit orders as percentage of total limit orders | 19.83% |
| Other orders as percentage of total other orders | 3.70% |
| 3. Automated Trading Desk Financial Services, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 15.41% |
| Limit orders as percentage of total limit orders | 4.13% |
| Other orders as percentage of total other orders | 55.56% |
| 4. Citadel Derivatives Group LLC | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 15.41% |
| Limit orders as percentage of total limit orders | 12.40% |
| Other orders as percentage of total other orders | 0.00% |
| 5. National Financial Services, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 3.58% |
| Limit orders as percentage of total limit orders | 4.13% |
| Other orders as percentage of total other orders | 0.00% |

6. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|-------|
| Market orders as percentage of total market orders | 2.15% |
| Limit orders as percentage of total limit orders | 6.61% |
| Other orders as percentage of total other orders | 0.00% |

7. BATS Trading, 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 | 1.65% |
| Other orders as percentage of total other orders | 0.00% |

Securities Listed on NYSE Amex 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 | 87.32% |
| Limit orders as percentage of total non-directed orders | 7.96% |
| Other orders as percentage of total non-directed orders | 4.72% |

Venues Receiving Significant Percentage of Total Non-Directed Orders :

| | |
|------------------------------------------------------|--------|
| 1. Knight Capital Markets, L.L.C. | 35.99% |
| 2. Automated Trading Desk Financial Services, L.L.C. | 33.04% |
| 3. UBS Securities, L.L.C. | 20.06% |
| 4. National Financial Services, L.L.C. | 6.78% |
| 5. Citadel Derivatives Group LLC | 3.54% |
| 6. NYSE Arca | 0.29% |
| 7. Domestic Securities Inc. | 0.29% |

Information Concerning Significant Venues :

| | |
|------------------------------------------------------|--------|
| 1. Knight Capital Markets, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 32.43% |
| Limit orders as percentage of total limit orders | 51.85% |
| Other orders as percentage of total other orders | 75.00% |
| 2. Automated Trading Desk Financial Services, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 34.80% |
| Limit orders as percentage of total limit orders | 33.33% |
| Other orders as percentage of total other orders | 0.00% |
| 3. UBS Securities, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 21.28% |
| Limit orders as percentage of total limit orders | 3.70% |
| Other orders as percentage of total other orders | 25.00% |
| 4. National Financial Services, L.L.C. | |
| Types of Orders Routed to Venue : | |
| Market orders as percentage of total market orders | 7.09% |
| Limit orders as percentage of total limit orders | 7.41% |
| Other orders as percentage of total other orders | 0.00% |
| 5. Citadel Derivatives Group 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 | 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 | 3.70% |
| Other orders as percentage of total other orders | 0.00% |

7. Domestic Securities Inc.

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|-------|
| Market orders as percentage of total market orders | 0.34% |
| 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 | 40.94% |
| Limit orders as percentage of total non-directed orders | 59.06% |
| Other orders as percentage of total non-directed orders | 0.00% |

Venues Receiving Significant Percentage of Total Non-Directed Orders :

| | |
|------------------------------------------|--------|
| 1. The Chicago Board Options Exchange | 34.90% |
| 2. NYSE Arca Options | 28.19% |
| 3. NASDAQ OMX PHLX | 17.45% |
| 4. The International Securities Exchange | 13.42% |
| 5. NYSE Amex Options | 3.36% |
| 6. The Boston Option Exchange | 2.68% |

Information Concerning Significant Venues :

1. The Chicago Board Options Exchange

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|--------|
| Market orders as percentage of total market orders | 59.02% |
| Limit orders as percentage of total limit orders | 18.18% |
| Other orders as percentage of total other orders | 0.00% |

2. NYSE Arca Options

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|--------|
| Market orders as percentage of total market orders | 14.75% |
| Limit orders as percentage of total limit orders | 37.50% |
| Other orders as percentage of total other orders | 0.00% |

3. NASDAQ OMX PHLX

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|--------|
| Market orders as percentage of total market orders | 3.28% |
| Limit orders as percentage of total limit orders | 27.27% |
| Other orders as percentage of total other orders | 0.00% |

4. The International Securities Exchange

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|--------|
| Market orders as percentage of total market orders | 11.48% |
| Limit orders as percentage of total limit orders | 14.77% |
| Other orders as percentage of total other orders | 0.00% |

5. NYSE Amex Options

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|-------|
| Market orders as percentage of total market orders | 6.56% |
| Limit orders as percentage of total limit orders | 1.14% |
| Other orders as percentage of total other orders | 0.00% |

6. The Boston Option Exchange

Types of Orders Routed to Venue :

| | |
|----------------------------------------------------|-------|
| Market orders as percentage of total market orders | 4.92% |
| Limit orders as percentage of total limit orders | 1.14% |
| Other orders as percentage of total other orders | 0.00% |