

## SEC Rule 606 Report - Ladenburg Thalmann & Co. Inc ("LTCO") - 4th Qtr, 2018

### Securities Listed on New York Stock Exchange Euronext

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total</b>	<b>100%</b>	<b>85%</b>	<b>14%</b>	<b>1%</b>
CDRG	30.63%	33.11%	12.58%	70.00%
NFSC	18.69%	20.84%	6.45%	0.00%
DTTX	13.35%	13.72%	11.94%	0.00%
ETMM	11.28%	12.02%	7.10%	5.00%
NITE	9.43%	10.01%	5.48%	15.00%
NSDQ	7.01%	2.58%	35.16%	0.00%
SOHO	3.92%	4.33%	1.29%	5.00%
NYSE	2.87%	2.22%	7.10%	0.00%
EDGX	0.84%	0.00%	6.13%	0.00%
INET	0.75%	0.00%	5.48%	0.00%

100.00% of total customer orders were non-directed orders.

### Securities Listed on The Nasdaq Stock Market

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total</b>	<b>100%</b>	<b>67%</b>	<b>32%</b>	<b>1%</b>
CDRG	25.22%	32.12%	8.52%	85.29%
NFSC	15.47%	20.25%	5.88%	0.00%
DTTX	14.54%	13.74%	16.73%	0.00%
NSDQ	11.74%	4.88%	26.67%	0.00%
NITE	8.62%	10.91%	3.85%	5.88%
ETMM	6.76%	8.81%	2.54%	2.94%
LTCO	5.40%	3.97%	8.62%	0.00%
EDGX	3.70%	0.00%	11.66%	0.00%
SOHO	3.06%	3.78%	1.42%	5.88%
PRINC	1.29%	0.57%	2.84%	0.00%

100.00% of total customer orders were non-directed orders.

### Securities Listed on NYSE Amex or Regional Exchanges

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total</b>	<b>100%</b>	<b>86%</b>	<b>13%</b>	<b>0%</b>
CDRG	40.41%	43.13%	22.73%	50.00%
NITE	14.42%	14.45%	13.64%	50.00%
NFSC	12.49%	13.28%	7.58%	0.00%
ETMM	11.88%	12.57%	7.58%	0.00%
SOHO	4.06%	4.35%	2.27%	0.00%
DTTX	3.45%	2.94%	6.82%	0.00%
ARCA	2.74%	3.06%	0.76%	0.00%
NSDQ	2.44%	0.71%	13.64%	0.00%
INET	1.62%	0.00%	12.12%	0.00%
AMEX	1.62%	1.06%	5.30%	0.00%

100.00% of total customer orders were non-directed orders.

### Exchange-Listed Options

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
<b>Total</b>	<b>100%</b>	<b>27%</b>	<b>73%</b>	<b>0%</b>
CBOE	19.25%	19.93%	19.00%	0.00%
PHLX	12.38%	11.23%	12.80%	0.00%
NFSC	11.79%	11.23%	12.00%	0.00%
NOM	11.00%	0.36%	14.96%	0.00%
ASE	10.71%	39.49%	0.00%	0.00%
ISEG	7.17%	0.36%	9.70%	0.00%
MIAX	4.72%	2.54%	5.53%	0.00%
ARCA	4.62%	0.36%	6.20%	0.00%
BOX	4.62%	4.71%	4.58%	0.00%
BATS	4.22%	0.36%	5.66%	0.00%

100.00% of total customer orders were non-directed orders.