

SEC Rule 606 Report – Scottrade Inc. – 3rd Quarter 2017

Scottrade Inc. posts two separate and distinct SEC Rule 606 reports that stem from orders entered on two separate platforms. This report is for Scottrade's regular business line. Order routing information regarding Scottrade, Inc.'s clearing arrangement with Interactive Brokers LLC can be found in the Quarterly Order Routing Disclosure section of the Trade Quality & Execution page.

Order Routing Information

This section provides statistical and other information about orders which Scottrade routes to the marketplace for execution in the following types of securities: New York Stock Exchange ("NYSE") listed stocks; NASDAQ listed stocks; stocks listed on NYSE MKT (formerly "NYSE Amex") or regional exchanges; and Exchange-listed options. For each of these types of securities, this section identifies the market centers most often selected by Scottrade and the percentage of various types of orders sent to those market centers. This section also addresses Scottrade's material relationships with market centers to which it routes client orders.

Scottrade does not have or seek incentives with any particular execution destination for equaling or exceeding an agreed upon order flow volume threshold, such as additional payments or a higher rate of payment, or disincentives for failing to meet an agreed upon minimum order flow threshold.

Scottrade does not have or seek volume-based tiered payment schedules, other than the industry-wide schedules provided by national securities exchanges.

Scottrade does not have or seek agreements regarding the minimum amount of order flow that the Firm routes to a particular execution destination.

NYSE Stocks

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
Total (%)	100.00	24.66	21.75	53.58
Citadel Execution Services	37.91	39.00	32.29	39.70
VIRTU Americas LLC	15.28	20.21	3.83	17.66
G1 Execution Services	14.08	27.76	5.06	11.46
NASDAQ	10.84	0.00	29.68	8.18
BATS (EDGX)	8.87	0.00	25.86	6.05
UBS Securities LLC	7.25	4.74	0.85	11.00
Two Sigma Securities	4.48	4.79	0.86	5.81

*100.0% of customer orders were non-directed

Material Aspects of Scottrade's Relationship with Execution Venues for NYSE Stocks

Scottrade, Inc. is an agency routing broker dealer. As such, Scottrade routes all client orders listed on the NYSE, NASDAQ, and Regional Exchanges to select intermediaries and national stock Exchanges for execution. Scottrade receives payment from VIRTU Americas LLC for certain types of orders. Payment for all National Market System (NMS) orders executed during the Third Quarter 2017 averaged at or below \$.00067 per share.

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The Senior Vice President of Trading Services at Scottrade, Inc. is a member of the Board of Directors of CBOE Bats Exchange, Inc.

NASDAQ Stocks

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
Total (%)	100.00	23.72	23.85	52.43
Citadel Execution Services	36.49	39.01	31.82	37.48
VIRTU Americas LLC	17.39	21.27	4.14	21.67
G1 Execution Services	13.85	28.22	4.58	11.57
NASDAQ	10.90	0.00	30.36	6.98
BATS (EDGX)	9.37	0.00	26.24	5.93
UBS Securities LLC	6.95	4.86	0.77	10.72
Two Sigma Securities	4.28	4.90	0.83	5.56

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Material Aspects of Scottrade's Relationship with Execution Venues for Nasdaq Stocks

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NYSE MKT and Other Regional Exchange-Listed Stocks

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
Total (%)	100.00	26.95	24.69	48.36
Citadel Execution Services	36.14	39.78	31.99	36.24
VIRTU Americas LLC	18.36	21.29	3.98	24.07
G1 Execution Services	13.67	28.72	4.34	10.04
NASDAQ	11.59	0.00	30.58	8.36
BATS (EDGX)	9.86	0.00	26.51	6.86
UBS Securities LLC	6.03	4.91	0.78	9.33
Two Sigma Securities	3.99	5.00	0.76	5.08

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Material Aspects of Scottrade's Relationship with Execution Venues for NYSE MKT and Other Regional Exchange-Listed Stocks

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Exchange-Listed Options

Route Venues	Total (%)	Market (%)	Limit (%)	Other (%)
Total (%)	100.00	14.22	84.92	0.86
Citadel Execution Services	38.76	42.05	38.10	49.15
Susquehanna Capital Group	17.33	20.94	16.73	17.04
Wolverine Execution Services	15.66	15.22	15.77	12.45
Morgan Stanley	10.90	12.96	10.56	10.88
Citigroup Global Markets	9.09	8.84	9.12	10.48
BATS (BZX)	8.25	0.00	9.71	0.00

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Material Aspects of Scottrade's Relationship with Listed Option Market Centers

Scottrade receives payment from Citadel Execution Services for certain option orders routed to them for execution on an option exchange. Payment for all orders executed during Third Quarter 2017 averaged at or below \$0.29 per contract.

Scottrade receives payment from Citigroup Global Markets for certain option orders routed to them for execution on an option exchange. Payment for all orders executed during Third Quarter 2017 averaged at or below \$0.56 per contract.

Scottrade receives payment from Susquehanna Capital Group for certain option orders routed to them for execution on an option exchange. Payment for all orders executed during Third Quarter 2017 averaged at or below \$0.30 per contract.

Scottrade receives payment from Morgan Stanley & Co for certain option orders routed to them for execution on an option exchange. Payment for all orders executed during Third Quarter 2017 averaged at or below \$0.32 per contract.

Scottrade receives payment from Wolverine Execution Services for certain option orders routed to them for execution on an option exchange. Payment for all orders executed during Third Quarter 2017 averaged at or below \$0.51 per contract.

Scottrade receives payment from CBOE Bats Global Markets for certain option orders routed to them for execution on the CBOE Bats (BZX) option exchange. Payment for all orders executed during Third Quarter 2017 averaged at or below \$0.45 per contract.

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Order Routing Information for Particular Orders under SEC Rule 606

U.S. Securities and Exchange Commission (SEC) rules require all brokerage firms to make publicly available quarterly reports describing their order routing practices. These quarterly reports describe how and where customer orders are routed and are available on our website or you may request a written copy by contacting your local Scottrade office. In addition to the

quarterly reports above, SEC rules also require brokerage firms, upon a client's request, to provide information regarding the identity of the market center to which any client order was routed in the six months prior to the request, whether the order was a directed or non-directed order, and the time of the transaction (if any) that resulted from the order. If you wish to receive the foregoing routing information for any order(s), please contact your local Scottrade office or independent investment advisor (if your account is a SAS account).

Definitions

Non-Directed Orders (%): The percentage of total orders that were non-directed orders.

Venue: Routing destination to which a certain percentage of total non-directed orders were sent.

Total (%): Percentage of total non-directed orders routed to a given venue.

Market (%): The percentage of all non-directed market orders routed to a given venue.

Limit (%): The percentage of all non-directed limit orders routed to a given venue.

Other (%): The percentage of all non-directed other orders routed to a given venue. Other orders include but are not limited to odd-lot orders, stop-on-quote orders and stop-limit-on-quote orders.