

**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.**



**KEEL POINT CAPITAL, LLC.  
100 CHURCH STREET  
STE 500  
HUNTSVILLE, AL, 35801**

**SEC Rule 606 Quarterly Report for the Quarter Ending June 30, 2019**

**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   | 97.78%  |
| Limit orders as percentage of total non-directed orders    | 1.90%   |
| Other orders as percentage of total non-directed orders    | 0.32%   |

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

|                                   |        |
|-----------------------------------|--------|
| 1. Citadel Securities LLC         | 53.02% |
| 2. VIRTU Americas LLC             | 20.63% |
| 3. G1 Execution Services, LLC     | 19.37% |
| 4. Two Sigma Securities, LLC      | 2.86%  |
| 5. UBS Securities, LLC            | 2.86%  |
| 6. New York Stock Exchange        | 0.95%  |
| 7. NASDAQ Execution Services, LLC | 0.32%  |

**Information Concerning Significant Venues :**

1. Citadel Securities LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 53.57% |
| Limit orders as percentage of total non-directed orders  | 33.33% |
| Other orders as percentage of total non-directed orders  | 0.00%  |

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

|  |         |
|--|---------|
| Market orders as percentage of total non-directed orders | 20.78%  |
| Limit orders as percentage of total non-directed orders  | 0.00%   |
| Other orders as percentage of total non-directed orders  | 100.00% |

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 19.81% |
| Limit orders as percentage of total non-directed orders  | 0.00%  |
| Other orders as percentage of total non-directed orders  | 0.00%  |

4. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total non-directed orders | 2.92% |
| Limit orders as percentage of total non-directed orders  | 0.00% |
| Other orders as percentage of total non-directed orders  | 0.00% |

5. UBS Securities, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total non-directed orders | 2.92% |
| Limit orders as percentage of total non-directed orders  | 0.00% |
| Other orders as percentage of total non-directed orders  | 0.00% |

6. New York Stock Exchange

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 0.00%  |
| Limit orders as percentage of total non-directed orders  | 50.00% |
| Other orders as percentage of total non-directed orders  | 0.00%  |

7. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 0.00%  |
| Limit orders as percentage of total non-directed orders  | 16.67% |
| Other orders as percentage of total non-directed 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   | 99.39%  |
| Limit orders as percentage of total non-directed orders    | 0.51%   |
| Other orders as percentage of total non-directed orders    | 0.10%   |

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

|                                   |        |
|-----------------------------------|--------|
| 1. Citadel Securities LLC         | 57.87% |
| 2. VIRTU Americas LLC             | 19.63% |
| 3. G1 Execution Services, LLC     | 16.05% |
| 4. Two Sigma Securities, LLC      | 3.99%  |
| 5. UBS Securities, LLC            | 2.15%  |
| 6. NASDAQ Execution Services, LLC | 0.20%  |
| 7. Investors Exchange             | 0.10%  |

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 58.13% |
| Limit orders as percentage of total non-directed orders  | 20.00% |
| Other orders as percentage of total non-directed orders  | 0.00%  |

#### 2. VIRTU Americas LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 19.55% |
| Limit orders as percentage of total non-directed orders  | 40.00% |
| Other orders as percentage of total non-directed orders  | 0.00%  |

#### 3. G1 Execution Services, LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 16.15% |
| Limit orders as percentage of total non-directed orders  | 0.00%  |
| Other orders as percentage of total non-directed orders  | 0.00%  |

#### 4. Two Sigma Securities, LLC

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

|  |       |
|--|-------|
| Market orders as percentage of total non-directed orders | 4.01% |
| Limit orders as percentage of total non-directed orders  | 0.00% |
| Other orders as percentage of total non-directed orders  | 0.00% |

5. UBS Securities, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total non-directed orders | 2.16% |
| Limit orders as percentage of total non-directed orders  | 0.00% |
| Other orders as percentage of total non-directed orders  | 0.00% |

6. NASDAQ Execution Services, LLC

Types of Orders Routed to Venue :

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 0.00%  |
| Limit orders as percentage of total non-directed orders  | 40.00% |
| Other orders as percentage of total non-directed orders  | 0.00%  |

7. Investors Exchange

Types of Orders Routed to Venue :

|  |         |
|--|---------|
| Market orders as percentage of total non-directed orders | 0.00%   |
| Limit orders as percentage of total non-directed orders  | 0.00%   |
| Other orders as percentage of total non-directed orders  | 100.00% |

## Securities Listed on NYSE American 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   | 99.96%  |
| Limit orders as percentage of total non-directed orders    | 0.04%   |
| Other orders as percentage of total non-directed orders    | 0.00%   |

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

|                               |        |
|-------------------------------|--------|
| 1. Citadel Securities LLC     | 58.11% |
| 2. VIRTU Americas LLC         | 19.05% |
| 3. G1 Execution Services, LLC | 16.63% |
| 4. Two Sigma Securities, LLC  | 4.10%  |
| 5. UBS Securities, LLC        | 2.07%  |
| 6. NYSE Arca                  | 0.04%  |

### Information Concerning Significant Venues :

#### 1. Citadel Securities LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 58.14% |
| Limit orders as percentage of total non-directed orders  | 0.00%  |
| Other orders as percentage of total non-directed orders  | 0.00%  |

#### 2. VIRTU Americas LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 19.06% |
| Limit orders as percentage of total non-directed orders  | 0.00%  |
| Other orders as percentage of total non-directed orders  | 0.00%  |

#### 3. G1 Execution Services, LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total non-directed orders | 16.63% |
| Limit orders as percentage of total non-directed orders  | 0.00%  |
| Other orders as percentage of total non-directed orders  | 0.00%  |

#### 4. Two Sigma Securities, LLC

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

|  |       |
|--|-------|
| Market orders as percentage of total non-directed orders | 4.10% |
| Limit orders as percentage of total non-directed orders  | 0.00% |
| Other orders as percentage of total non-directed orders  | 0.00% |

5. UBS Securities, LLC

Types of Orders Routed to Venue :

|  |       |
|--|-------|
| Market orders as percentage of total non-directed orders | 2.07% |
| Limit orders as percentage of total non-directed orders  | 0.00% |
| Other orders as percentage of total non-directed orders  | 0.00% |

6. NYSE Arca

Types of Orders Routed to Venue :

|  |         |
|--|---------|
| Market orders as percentage of total non-directed orders | 0.00%   |
| Limit orders as percentage of total non-directed orders  | 100.00% |
| Other orders as percentage of total non-directed orders  | 0.00%   |

## Exchange - Listed Options

### **Summary Statistics:**

|  |       |
|--|-------|
| Non-directed orders as percentage of total customer orders | 0.00% |
| Market orders as percentage of total non-directed orders   | 0.00% |
| Limit orders as percentage of total non-directed orders    | 0.00% |
| Other orders as percentage of total non-directed orders    | 0.00% |