



BETA CAPITAL
WEALTH MANAGEMENT

Crédit Andorrà Financial Group

Rule 606 – Best Execution Disclosure for accounts held at Raymond James & Assoc 3rd Quarter 2019

Market Center	Exchange	Venue 606	Non Dir (%)	Market (%)	Limit (%)	Other (%)	Non Dir (#)	Market (#)	Limit (#)	Other (#)
TRAJA	NASD - NASDAQ Stock Exchange	Total	100.00%	27.06%	23.53%	49.41%	85	23	20	42
TRAJA	NASD - NASDAQ Stock Exchange	Knight Equity Markets(NITE)	22.35%	13.04%	30.00%	23.81%	19	3	6	10
TRAJA	NASD - NASDAQ Stock Exchange	Citadel Securities(CDRG)	20.00%	13.04%	25.00%	21.43%	17	3	5	9
TRAJA	NASD - NASDAQ Stock Exchange	G1 Execution Services, LLC(ETMM)	15.29%	17.39%	10.00%	16.67%	13	4	2	7
TRAJA	NASD - NASDAQ Stock Exchange	Two Sigma Securities(SOHO)	12.94%	8.70%	10.00%	16.67%	11	2	2	7
TRAJA	NASD - NASDAQ Stock Exchange	UBS Securities LLC(UBSS)	8.24%	13.04%	10.00%	4.76%	7	3	2	2
TRAJA	NASD - NASDAQ Stock Exchange	GTSM	8.24%	4.35%	5.00%	11.90%	7	1	1	5
TRAJA	NASD - NASDAQ Stock Exchange	WSEA	4.71%	17.39%	0.00%	0.00%	4	4	0	0
TRAJA	NASD - NASDAQ Stock Exchange	BKCM	4.71%	8.70%	0.00%	4.76%	4	2	0	2
TRAJA	NASD - NASDAQ Stock Exchange	Vandham Securities(VNDM)	2.35%	4.35%	5.00%	0.00%	2	1	1	0
TRAJA	NASD - NASDAQ Stock Exchange	WEXX	1.18%	0.00%	5.00%	0.00%	1	0	1	0
TRAJA	NYSE - New York Stock Exchange	Total	100.00%	59.26%	14.81%	25.93%	81	48	12	21
TRAJA	NYSE - New York Stock Exchange	Knight Equity Markets(NITE)	18.52%	12.50%	41.67%	19.05%	15	6	5	4
TRAJA	NYSE - New York Stock Exchange	Citadel Securities(CDRG)	17.28%	20.83%	8.33%	14.29%	14	10	1	3
TRAJA	NYSE - New York Stock Exchange	Two Sigma Securities(SOHO)	14.81%	16.67%	0.00%	19.05%	12	8	0	4
TRAJA	NYSE - New York Stock Exchange	G1 Execution Services, LLC(ETMM)	13.58%	16.67%	0.00%	14.29%	11	8	0	3
TRAJA	NYSE - New York Stock Exchange	UBS Securities LLC(UBSS)	13.58%	12.50%	25.00%	9.52%	11	6	3	2
TRAJA	NYSE - New York Stock Exchange	WSEA	11.11%	10.42%	8.33%	14.29%	9	5	1	3
TRAJA	NYSE - New York Stock Exchange	Vandham Securities(VNDM)	9.88%	10.42%	16.67%	4.76%	8	5	2	1
TRAJA	NYSE - New York Stock Exchange	WEXX	1.23%	0.00%	0.00%	4.76%	1	0	0	1
TRAJA	Other Regional Exchanges	Total	100.00%	37.50%	11.11%	51.39%	72	27	8	37
TRAJA	Other Regional Exchanges	Citadel Securities(CDRG)	23.61%	37.04%	12.50%	16.22%	17	10	1	6
TRAJA	Other Regional Exchanges	Knight Equity Markets(NITE)	22.22%	22.22%	37.50%	18.92%	16	6	3	7
TRAJA	Other Regional Exchanges	GTSM	18.06%	22.22%	12.50%	16.22%	13	6	1	6
TRAJA	Other Regional Exchanges	Two Sigma Securities(SOHO)	16.67%	14.81%	25.00%	16.22%	12	4	2	6
TRAJA	Other Regional Exchanges	BKCM	11.11%	3.70%	0.00%	18.92%	8	1	0	7
TRAJA	Other Regional Exchanges	G1 Execution Services, LLC(ETMM)	8.33%	0.00%	12.50%	13.51%	6	0	1	5



Rule 606 – Best Execution Disclosure for accounts held at AXOS/COR Clearing LLC 3rd Quarter 2019

SEC Rule 606 Report - COR Clearing - 3rd Qtr, 2019

(Percentages of Total Non-Directed Orders Routed to Individual Route Venues)

Securities Listed on New York Stock Exchange Euronext

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	100.00	0.00	0.00	3	3	0	0	0	100.00	0.00	0.00
Citadel Securities	33.33	33.33	0.00	0.00	1	1	0	0	0	100.00	0.00	0.00
Canaccord Genuity Inc	33.33	33.33	0.00	0.00	1	1	0	0	0	100.00	0.00	0.00
UBS Securities LLC	33.33	33.33	0.00	0.00	1	1	0	0	0	100.00	0.00	0.00

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

Securities Listed on The Nasdaq Stock Market

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	75.00	0.00	25.00	4	3	0	1	0	75.00	0.00	25.00
UBS Securities LLC	50.00	66.67	0.00	0.00	2	2	0	0	0	100.00	0.00	0.00
Citadel Securities	25.00	33.33	0.00	0.00	1	1	0	0	0	100.00	0.00	0.00
Canaccord Genuity Inc	25.00	0.00	0.00	100.00	1	0	0	1	0	0.00	0.00	100.00

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

Securities Listed on NYSE MKT or other National Securities Exchange

Route Venues	Publicly Posted Percentages				Private Supporting Data							
	Total (%)	Market (%)	Limit (%)	Other (%)	Total (#)	Market (#)	Limit (#)	Other (#)	*Unknown (#)	Market (%)	Limit (%)	Other (%)
Total	100.00	93.33	0.00	6.67	15	14	0	1	0	93.33	0.00	6.67
Citadel Securities	53.33	57.14	0.00	0.00	8	8	0	0	0	100.00	0.00	0.00
UBS Securities LLC	33.33	28.57	0.00	100.00	5	4	0	1	0	80.00	0.00	20.00
Canaccord Genuity Inc	13.33	14.29	0.00	0.00	2	2	0	0	0	100.00	0.00	0.00

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

Exchange-Listed Options No Covered Orders

[Material Aspects of Relationship with Route Venues](#)
[How to read this report](#)

*Unknown is part of Other.