

**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.**

**KN2**  
**4 WBB SECURITIES, LLC**  
**3456 CAMINO DEL RIO NORTH**  
**SUITE 212**  
**SAN DIEGO, CA 92108**

**SEC Rule 606 Quarterly Report for the Quarter Ending September 30, 2013**

**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	83.99%
Limit orders as percentage of total non-directed orders	9.96%
Other orders as percentage of total non-directed orders	6.05%

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

1. KCG Holdings, Inc.	26.33%
2. Citadel Securities LLC	22.78%
3. Goldman, Sachs & Co.	14.59%
4. UBS Securities, LLC	12.10%
5. National Financial Services LLC	8.90%
6. Two Sigma Securities, LLC	8.19%
7. Direct Edge Exchange	2.14%
8. Instinet LLC	1.42%
9. Morgan Stanley & Co. Incorporated	1.42%
10. Citigroup Global Markets, Inc.	1.07%

**Information Concerning Significant Venues :**

1. KCG Holdings, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	26.27%
Limit orders as percentage of total limit orders	21.43%
Other orders as percentage of total other orders	35.29%

2. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	21.61%
Limit orders as percentage of total limit orders	25.00%
Other orders as percentage of total other orders	35.29%

3. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	16.95%
Limit orders as percentage of total limit orders	3.57%
Other orders as percentage of total other orders	0.00%

4. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	11.86%
Limit orders as percentage of total limit orders	7.14%
Other orders as percentage of total other orders	23.53%

5. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.32%
Limit orders as percentage of total limit orders	10.71%
Other orders as percentage of total other orders	0.00%

6. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.75%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. Direct Edge Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	21.43%
Other orders as percentage of total other orders	0.00%

8. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.69%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Morgan Stanley & Co. Incorporated

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.69%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.85%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	5.88%

## 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	41.74%
Limit orders as percentage of total non-directed orders	49.13%
Other orders as percentage of total non-directed orders	9.13%

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

1. UBS Securities, LLC	19.57%
2. Direct Edge Exchange	19.13%
3. Citadel Securities LLC	16.09%
4. KCG Holdings, Inc.	12.61%
5. NYSE Arca	9.13%
6. National Financial Services LLC	8.70%
7. Goldman, Sachs & Co.	7.83%
8. Two Sigma Securities, LLC	4.35%
9. Instinet LLC	1.74%
10. BATS Exchange, Inc.	0.43%

### Information Concerning Significant Venues :

#### 1. UBS Securities, LLC

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

Market orders as percentage of total market orders	16.67%
Limit orders as percentage of total limit orders	21.24%
Other orders as percentage of total other orders	23.81%

#### 2. Direct Edge Exchange

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

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	38.94%
Other orders as percentage of total other orders	0.00%

#### 3. Citadel Securities LLC

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

Market orders as percentage of total market orders	32.29%
Limit orders as percentage of total limit orders	0.88%
Other orders as percentage of total other orders	23.81%

#### 4. KCG Holdings, Inc.

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

Market orders as percentage of total market orders	14.58%
Limit orders as percentage of total limit orders	3.54%
Other orders as percentage of total other orders	52.38%

#### 5. 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	18.58%
Other orders as percentage of total other orders	0.00%

6. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	8.33%
Limit orders as percentage of total limit orders	10.62%
Other orders as percentage of total other orders	0.00%

7. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	15.63%
Limit orders as percentage of total limit orders	2.65%
Other orders as percentage of total other orders	0.00%

8. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.38%
Limit orders as percentage of total limit orders	0.88%
Other orders as percentage of total other orders	0.00%

9. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.13%
Limit orders as percentage of total limit orders	0.88%
Other orders as percentage of total other orders	0.00%

10. BATS Exchange, 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	0.88%
Other orders as percentage of total other orders	0.00%

**Securities Listed on NYSE MKT 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	56.56%
Limit orders as percentage of total non-directed orders	35.25%
Other orders as percentage of total non-directed orders	8.20%

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

1. KCG Holdings, Inc.	35.25%
2. Goldman, Sachs & Co.	22.13%
3. Direct Edge Exchange	13.93%
4. National Financial Services LLC	9.02%
5. Two Sigma Securities, LLC	7.38%
6. Citadel Securities LLC	6.56%
7. NYSE Arca	2.46%
8. UBS Securities, LLC	2.46%
9. NYSE Amex	0.82%

**Information Concerning Significant Venues :**

1. KCG Holdings, Inc.	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	34.78%
Limit orders as percentage of total limit orders	20.93%
Other orders as percentage of total other orders	100.00%
2. Goldman, Sachs & Co.	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	39.13%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%
3. Direct Edge Exchange	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	39.53%
Other orders as percentage of total other orders	0.00%
4. National Financial Services LLC	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	2.90%
Limit orders as percentage of total limit orders	20.93%
Other orders as percentage of total other orders	0.00%
5. Two Sigma Securities, LLC	
Types of Orders Routed to Venue :	
Market orders as percentage of total market orders	13.04%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	10.14%
Limit orders as percentage of total limit orders	2.33%
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	6.98%
Other orders as percentage of total other orders	0.00%

8. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	6.98%
Other orders as percentage of total other orders	0.00%

9. NYSE Amex

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	2.33%
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	6.25%
Limit orders as percentage of total non-directed orders	93.75%
Other orders as percentage of total non-directed orders	0.00%

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

1. BATS Options Exchange, Inc.	31.25%
2. Nasdaq Options Market	25.00%
3. NASDAQ OMX PHLX	25.00%
4. The Chicago Board Options Exchange	12.50%
5. NYSE Amex Options	6.25%

### Information Concerning Significant Venues :

#### 1. BATS Options Exchange, 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	33.33%
Other orders as percentage of total other orders	0.00%

#### 2. Nasdaq Options Market

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

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	26.67%
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	100.00%
Limit orders as percentage of total limit orders	20.00%
Other orders as percentage of total other orders	0.00%

#### 4. The Chicago Board Options Exchange

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

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	13.33%
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	0.00%
Limit orders as percentage of total limit orders	6.67%
Other orders as percentage of total other orders	0.00%

