

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.

AFY
3 ALLSTATE FINANCIAL SERVICES LL
C 2920 SOUTH 84TH STREET
LINCOLN, NE 68506

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	87.04%
Limit orders as percentage of total non-directed orders	11.53%
Other orders as percentage of total non-directed orders	1.43%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. KCG Holdings, Inc.	30.92%
2. Citadel Securities LLC	16.84%
3. Goldman, Sachs & Co.	15.71%
4. National Financial Services LLC	11.22%
5. Two Sigma Securities, LLC	8.88%
6. UBS Securities, LLC	7.55%
7. Direct Edge Exchange	3.67%
8. Instinet LLC	1.63%
9. Citigroup Global Markets, Inc.	1.33%
10. BATS Exchange, Inc.	0.82%

Information Concerning Significant Venues :

1. KCG Holdings, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	33.41%
Limit orders as percentage of total limit orders	7.08%
Other orders as percentage of total other orders	71.43%

2. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	18.29%
Limit orders as percentage of total limit orders	5.31%
Other orders as percentage of total other orders	21.43%

3. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	17.47%
Limit orders as percentage of total limit orders	4.42%
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	8.68%
Limit orders as percentage of total limit orders	31.86%
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	9.85%
Limit orders as percentage of total limit orders	2.65%
Other orders as percentage of total other orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	8.21%
Limit orders as percentage of total limit orders	2.65%
Other orders as percentage of total other orders	7.14%

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	31.86%
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	1.76%
Limit orders as percentage of total limit orders	0.88%
Other orders as percentage of total other orders	0.00%

9. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	1.17%
Limit orders as percentage of total limit orders	2.65%
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	7.08%
Other orders as percentage of total other 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	85.49%
Limit orders as percentage of total non-directed orders	13.38%
Other orders as percentage of total non-directed orders	1.13%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. KCG Holdings, Inc.	33.79%
2. Citadel Securities LLC	19.27%
3. National Financial Services LLC	11.56%
4. Goldman, Sachs & Co.	11.34%
5. Two Sigma Securities, LLC	9.98%
6. Direct Edge Exchange	6.12%
7. UBS Securities, LLC	4.99%
8. Instinet LLC	2.04%
9. Citigroup Global Markets, Inc.	0.45%
10. BATS Exchange, Inc.	0.23%

Information Concerning Significant Venues :

1. KCG Holdings, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	36.34%
Limit orders as percentage of total limit orders	16.95%
Other orders as percentage of total other orders	40.00%

2. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	22.02%
Limit orders as percentage of total limit orders	3.39%
Other orders as percentage of total other orders	0.00%

3. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	9.55%
Limit orders as percentage of total limit orders	25.42%
Other orders as percentage of total other orders	0.00%

4. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	13.26%
Limit orders as percentage of total limit orders	0.00%
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	11.14%
Limit orders as percentage of total limit orders	3.39%
Other orders as percentage of total other orders	0.00%

6. 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	45.76%
Other orders as percentage of total other orders	0.00%

7. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.77%
Limit orders as percentage of total limit orders	1.69%
Other orders as percentage of total other orders	60.00%

8. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.39%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

9. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.27%
Limit orders as percentage of total limit orders	1.69%
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	1.69%
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	94.06%
Limit orders as percentage of total non-directed orders	5.59%
Other orders as percentage of total non-directed orders	0.35%

Venues Receiving Significant Percentage of Total Non-Directed Orders :

1. Goldman, Sachs & Co.	38.11%
2. Citadel Securities LLC	19.93%
3. KCG Holdings, Inc.	17.83%
4. National Financial Services LLC	7.69%
5. Two Sigma Securities, LLC	6.64%
6. UBS Securities, LLC	3.85%
7. Instinet LLC	2.10%
8. Direct Edge Exchange	1.40%
9. Morgan Stanley & Co. Incorporated	1.40%
10. Nasdaq Execution Services, LLC	0.70%

Information Concerning Significant Venues :

1. Goldman, Sachs & Co.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	40.52%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

2. Citadel Securities LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	21.19%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

3. KCG Holdings, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	17.84%
Limit orders as percentage of total limit orders	12.50%
Other orders as percentage of total other orders	100.00%

4. National Financial Services LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	5.20%
Limit orders as percentage of total limit orders	50.00%
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	7.06%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. UBS Securities, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.09%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

7. Instinet LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	2.23%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

8. 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	25.00%
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	1.49%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

10. Nasdaq Execution Services, LLC

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.37%
Limit orders as percentage of total limit orders	6.25%
Other orders as percentage of total other 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%

