

**RDM INVESTMENT SERVICES, INC.  
1555 POST ROAD EAST  
WESTPORT, CT 06880**

**SEC Rule 606 Quarterly Report for the Quarter Ending  
June 30, 2016**

**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 market orders         | 100.00% |
| Limit orders as percentage of total limit orders           | 0.00%   |
| Other orders as percentage of total other orders           | 0.00%   |

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

|                                   |        |
|-----------------------------------|--------|
| 1. Citadel Securities LLC         | 38.57% |
| 2. KCG Americas LLC               | 37.14% |
| 3. G1 Execution Services, LLC     | 16.19% |
| 4. BATS BYX Exchange              | 2.86%  |
| 5. UBS Securities, LLC            | 2.38%  |
| 6. Instinet LLC                   | 1.90%  |
| 7. Citigroup Global Markets, Inc. | 0.48%  |
| 8. Two Sigma Securities, LLC      | 0.48%  |

**Information Concerning Significant Venues:**

1. Citadel Securities LLC

Types of Orders Routed to Venue:

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 38.57% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

2. KCG Americas LLC

Types of Orders Routed to Venue:

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 37.14% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

3. G1 Execution Services, LLC

Types of Orders Routed to Venue:

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 16.19% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

4. BATS BYX Exchange

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.86% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

5. UBS Securities, LLC

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.38% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

6. Instinet LLC

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 1.90% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

7. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.48% |
| Limit orders as percentage of total limit orders   | 0.00% |
| 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 | 0.48% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

**Material Aspects of Relationship with Venue**

- RDM Investment Services, Inc. does not accept any payment for order flow for listed securities.

## 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 market orders         | 100.00% |
| Limit orders as percentage of total limit orders           | 0.00%   |
| Other orders as percentage of total other orders           | 0.00%   |

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

|                               |        |
|-------------------------------|--------|
| 1. Citadel Securities LLC     | 40.98% |
| 2. KCG Americas LLC           | 36.89% |
| 3. G1 Execution Services, LLC | 12.30% |
| 4. BATS BYX Exchange          | 3.28%  |
| 5. Jane Street Capital, LLC   | 2.46%  |
| 6. UBS Securities, LLC        | 2.46%  |
| 7. Instinet LLC               | 0.82%  |
| 8. Two Sigma Securities, LLC  | 0.82%  |

### Information Concerning Significant Venues:

#### 1. Citadel Securities LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 40.98% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 2. KCG Americas LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 36.89% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 3. G1 Execution Services, LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 12.30% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 4. BATS BYX Exchange

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

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 3.28% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

5. Jane Street Capital, LLC

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.46% |
| 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 | 2.46% |
| 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 | 0.82% |
| Limit orders as percentage of total limit orders   | 0.00% |
| 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 | 0.82% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

**Material Aspects of Relationship with Venue**

RDM Investment Services, Inc. does not accept any payment for order flow for NASDAQ securities.

## 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 market orders         | 99.55%  |
| Limit orders as percentage of total limit orders           | 0.45%   |
| Other orders as percentage of total other orders           | 0.00%   |

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

|                                     |        |
|-------------------------------------|--------|
| 1. KCG Americas LLC                 | 31.67% |
| 2. Citadel Securities LLC           | 29.86% |
| 3. Jane Street Capital, LLC         | 16.74% |
| 4. G1 Execution Services, LLC       | 12.22% |
| 5. Instinet LLC                     | 3.62%  |
| 6. BATS BYX Exchange                | 2.26%  |
| 7. UBS Securities, LLC              | 1.36%  |
| 8. Citigroup Global Markets, Inc.   | 0.90%  |
| 9. Two Sigma Securities, LLC        | 0.90%  |
| 10. National Financial Services LLC | 0.45%  |

### Information Concerning Significant Venues:

#### 1. KCG Americas LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 31.82% |
| 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 | 30.00% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 3. Jane Street Capital, LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 16.82% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 4. G1 Execution Services, LLC

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 12.27% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

5. Instinet LLC

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 3.64% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

6. BATS BYX Exchange

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 2.27% |
| Limit orders as percentage of total limit orders   | 0.00% |
| 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 | 1.36% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

8. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.91% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

9. Two Sigma Securities, LLC

Types of Orders Routed to Venue:

|  |       |
|--|-------|
| Market orders as percentage of total market orders | 0.91% |
| Limit orders as percentage of total limit orders   | 0.00% |
| Other orders as percentage of total other orders   | 0.00% |

10. National Financial Services 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   | 100.00% |
| Other orders as percentage of total other orders   | 0.00%   |

**Material Aspects of Relationship with Venue**

RDM Investment Services, Inc. does not accept any payment for order flow for listed securities

## Exchange - Listed Options

### Summary Statistics:

|  |         |
|--|---------|
| Non-directed orders as percentage of total customer orders | 100.00% |
| Market orders as percentage of total market orders         | 100.00% |
| Limit orders as percentage of total limit orders           | 0.00%   |
| Other orders as percentage of total other orders           | 0.00%   |

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

|                                       |        |
|---------------------------------------|--------|
| 1. The Chicago Board Options Exchange | 52.94% |
| 2. The MIAX Options Exchange          | 23.53% |
| 3. NASDAQ PHLX Options                | 17.65% |
| 4. BOX Option Exchange                | 5.88%  |

### Information Concerning Significant Venues:

#### 1. The Chicago Board Options Exchange

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 52.94% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 2. The MIAX Options Exchange

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 23.53% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 3. NASDAQ PHLX Options

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

|  |        |
|--|--------|
| Market orders as percentage of total market orders | 17.65% |
| Limit orders as percentage of total limit orders   | 0.00%  |
| Other orders as percentage of total other orders   | 0.00%  |

#### 4. BOX Option Exchange

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

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

### Material Aspects of Relationship with Venue

- RDM Investment Services, Inc. does not accept any payment for order flow for option securities.

As part of National Financial Services LLC (NFS) overall pricing structure with their correspondents for clearing and other services, NFS rebates certain clearing fees to correspondents based on monthly trading volume. In routing correspondent's order flow, NFS relies on its best execution review in determining the best available market or venue to route the orders.