

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.

DLR

**DEMPSEY LORD SMITH, LLC
901 N BROAD ST STE 400
ROME, GA 30161**

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 | 69.46% |
| Limit orders as percentage of total non-directed orders | 25.49% |
| Other orders as percentage of total non-directed orders | 5.05% |

Venues Receiving Significant Percentage of Total Non-Directed Orders:

| | |
|-------------------------------------|--------|
| 1. Citadel Securities LLC | 54.06% |
| 2. VIRTU Americas LLC | 15.27% |
| 3. G1 Execution Services, LLC | 11.95% |
| 4. New York Stock Exchange | 5.30% |
| 5. Cboe EDGX U.S. Equities Exchange | 4.43% |
| 6. Two Sigma Securities, LLC | 4.31% |
| 7. NASDAQ Execution Services, LLC | 2.09% |
| 8. UBS Securities, LLC | 1.97% |
| 9. Cboe BZX U.S. Equities Exchange | 0.62% |

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 63.65% |
| Limit orders as percentage of total non-directed orders | 27.05% |
| Other orders as percentage of total non-directed orders | 58.54% |

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 15.60% |
| Limit orders as percentage of total non-directed orders | 13.04% |
| Other orders as percentage of total non-directed orders | 21.95% |

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 14.18% |
| Limit orders as percentage of total non-directed orders | 5.80% |
| Other orders as percentage of total non-directed orders | 12.20% |

4. 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 | 20.77% |
| Other orders as percentage of total non-directed orders | 0.00% |

5. Cboe EDGX U.S. Equities 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 | 17.39% |
| Other orders as percentage of total non-directed orders | 0.00% |

6. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 4.61% |
| Limit orders as percentage of total non-directed orders | 4.35% |
| 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 | 8.21% |
| Other orders as percentage of total non-directed orders | 0.00% |

8. UBS Securities, LLC

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 1.95% |
| Limit orders as percentage of total non-directed orders | 0.97% |
| Other orders as percentage of total non-directed orders | 7.32% |

9. Cboe BZX U.S. Equities 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 | 2.42% |
| 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 | 58.96% |
| Limit orders as percentage of total non-directed orders | 33.58% |
| Other orders as percentage of total non-directed orders | 7.46% |

Venues Receiving Significant Percentage of Total Non-Directed Orders:

| | |
|-------------------------------------|--------|
| 1. Citadel Securities LLC | 45.52% |
| 2. VIRTU Americas LLC | 15.42% |
| 3. G1 Execution Services, LLC | 12.44% |
| 4. Cboe EDGX U.S. Equities Exchange | 11.19% |
| 5. NASDAQ Execution Services, LLC | 9.45% |
| 6. Two Sigma Securities, LLC | 2.49% |
| 7. UBS Securities, LLC | 2.24% |
| 8. Cboe BZX U.S. Equities Exchange | 1.00% |
| 9. | 0.25% |

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 54.85% |
| Limit orders as percentage of total non-directed orders | 17.78% |
| Other orders as percentage of total non-directed orders | 96.67% |

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 21.10% |
| Limit orders as percentage of total non-directed orders | 8.15% |
| Other orders as percentage of total non-directed orders | 3.33% |

3. G1 Execution Services, LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 17.72% |
| Limit orders as percentage of total non-directed orders | 5.93% |
| Other orders as percentage of total non-directed orders | 0.00% |

4. Cboe EDGX U.S. Equities 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 | 33.33% |
| Other orders as percentage of total non-directed orders | 0.00% |

5. 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 | 28.15% |
| Other orders as percentage of total non-directed orders | 0.00% |

6. Two Sigma Securities, LLC

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 2.53% |
| Limit orders as percentage of total non-directed orders | 2.96% |
| Other orders as percentage of total non-directed orders | 0.00% |

7. UBS Securities, LLC

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 3.38% |
| Limit orders as percentage of total non-directed orders | 0.74% |
| Other orders as percentage of total non-directed orders | 0.00% |

8. Cboe BZX U.S. Equities 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 | 2.96% |
| Other orders as percentage of total non-directed orders | 0.00% |

9.

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 0.42% |
| Limit orders as percentage of total non-directed orders | 0.00% |
| Other orders as percentage of total non-directed orders | 0.00% |

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 | 85.50% |
| Limit orders as percentage of total non-directed orders | 13.74% |
| Other orders as percentage of total non-directed orders | 0.76% |

Venues Receiving Significant Percentage of Total Non-Directed Orders:

| | |
|-------------------------------------|--------|
| 1. Citadel Securities LLC | 57.25% |
| 2. VIRTU Americas LLC | 16.79% |
| 3. G1 Execution Services, LLC | 12.98% |
| 4. Two Sigma Securities, LLC | 3.44% |
| 5. Cboe BZX U.S. Equities Exchange | 3.05% |
| 6. NYSE Arca | 1.91% |
| 7. NASDAQ Execution Services, LLC | 1.91% |
| 8. UBS Securities, LLC | 1.91% |
| 9. Cboe EDGX U.S. Equities Exchange | 0.76% |

Information Concerning Significant Venues :

1. Citadel Securities LLC

Types of Orders Routed to Venue :

| | |
|--|---------|
| Market orders as percentage of total non-directed orders | 59.82% |
| Limit orders as percentage of total non-directed orders | 38.89% |
| Other orders as percentage of total non-directed orders | 100.00% |

2. VIRTU Americas LLC

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 19.20% |
| Limit orders as percentage of total non-directed orders | 2.78% |
| 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 | 14.73% |
| Limit orders as percentage of total non-directed orders | 2.78% |
| 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 | 4.02% |
| Limit orders as percentage of total non-directed orders | 0.00% |
| Other orders as percentage of total non-directed orders | 0.00% |

5. Cboe BZX U.S. Equities 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 | 22.22% |
| 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 | 13.89% |
| 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 | 13.89% |
| Other orders as percentage of total non-directed orders | 0.00% |

8. UBS Securities, LLC

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 2.23% |
| Limit orders as percentage of total non-directed orders | 0.00% |
| Other orders as percentage of total non-directed orders | 0.00% |

9. Cboe EDGX U.S. Equities 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 | 5.56% |
| 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 | 100.00% |
| Market orders as percentage of total non-directed orders | 47.83% |
| Limit orders as percentage of total non-directed orders | 49.41% |
| Other orders as percentage of total non-directed orders | 2.76% |

Venues Receiving Significant Percentage of Total Non-Directed Orders:

| | |
|------------------------------------|--------|
| 1. Cboe Options Exchange | 37.20% |
| 2. NASDAQ PHLX Options | 21.46% |
| 3. NYSE Arca Options | 7.48% |
| 4. NASDAQ Options Market | 7.28% |
| 5. Cboe BZX Options Exchange, Inc. | 6.30% |
| 6. DASH FINANCIAL TECHNOLOGIES LLC | 4.33% |
| 7. ISE Gemini Options Exchange | 4.13% |
| 8. BOX Option Exchange | 3.15% |
| 9. Cboe EDGX Option Exchange | 3.15% |
| 10. The MIAX Options Exchange | 1.57% |

Information Concerning Significant Venues :

1. Cboe Options Exchange

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 64.61% |
| Limit orders as percentage of total non-directed orders | 10.36% |
| Other orders as percentage of total non-directed orders | 42.86% |

2. NASDAQ PHLX Options

Types of Orders Routed to Venue :

| | |
|--|--------|
| Market orders as percentage of total non-directed orders | 22.63% |
| Limit orders as percentage of total non-directed orders | 18.73% |
| Other orders as percentage of total non-directed orders | 50.00% |

3. NYSE Arca Options

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 | 15.14% |
| Other orders as percentage of total non-directed orders | 0.00% |

4. NASDAQ Options Market

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 | 14.74% |
| Other orders as percentage of total non-directed orders | 0.00% |

5. Cboe BZX Options Exchange, Inc.

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 | 12.75% |
| Other orders as percentage of total non-directed orders | 0.00% |

6. DASH FINANCIAL TECHNOLOGIES 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 | 8.76% |
| Other orders as percentage of total non-directed orders | 0.00% |

7. ISE Gemini Options Exchange

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 0.41% |
| Limit orders as percentage of total non-directed orders | 7.97% |
| Other orders as percentage of total non-directed orders | 0.00% |

8. BOX Option Exchange

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 5.76% |
| Limit orders as percentage of total non-directed orders | 0.80% |
| Other orders as percentage of total non-directed orders | 0.00% |

9. Cboe EDGX Option Exchange

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 0.41% |
| Limit orders as percentage of total non-directed orders | 5.98% |
| Other orders as percentage of total non-directed orders | 0.00% |

10. The MIAX Options Exchange

Types of Orders Routed to Venue :

| | |
|--|-------|
| Market orders as percentage of total non-directed orders | 3.29% |
| Limit orders as percentage of total non-directed orders | 0.00% |
| Other orders as percentage of total non-directed orders | 0.00% |