

**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.**

**C6B**  
**SUMMIT EQUITIES, INC.**  
**4 CAMPUS DRIVE**  
**PARSIPPANY, NJ 07054-0413**

**SEC Rule 606 Quarterly Report for the Quarter Ending December 31, 2009**

**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	88.89%
Limit orders as percentage of total non-directed orders	5.72%
Other orders as percentage of total non-directed orders	5.39%

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

1. Knight Capital Markets, L.L.C.	33.86%
2. UBS Securities, L.L.C.	21.63%
3. Automated Trading Desk Financial Services, L.L.C.	17.23%
4. Citadel Derivatives Group LLC	10.12%
5. National Financial Services, L.L.C.	9.20%
6. Citigroup Global Markets, Inc.	6.51%
7. Goldman, Sachs & Co.	1.31%
8. AlterNet Securities Inc.	0.07%
9. Direct Edge ECN L.L.C.	0.07%

**Information Concerning Significant Venues :**

1. Knight Capital Markets, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	34.32%
Limit orders as percentage of total limit orders	25.29%
Other orders as percentage of total other orders	35.37%

2. UBS Securities, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	23.08%
Limit orders as percentage of total limit orders	13.79%
Other orders as percentage of total other orders	6.10%

3. Automated Trading Desk Financial Services, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	12.57%
	Limit orders as percentage of total limit orders	51.72%
	Other orders as percentage of total other orders	57.32%
4. Citadel Derivatives Group LLC		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	10.87%
	Limit orders as percentage of total limit orders	6.90%
	Other orders as percentage of total other orders	1.22%
5. National Financial Services, L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	10.28%
	Limit orders as percentage of total limit orders	1.15%
	Other orders as percentage of total other orders	0.00%
6. Citigroup Global Markets, Inc.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	7.32%
	Limit orders as percentage of total limit orders	0.00%
	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	1.48%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
8. AlterNet Securities Inc.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	0.07%
	Limit orders as percentage of total limit orders	0.00%
	Other orders as percentage of total other orders	0.00%
9. Direct Edge ECN L.L.C.		
	Types of Orders Routed to Venue :	
	Market orders as percentage of total market orders	0.00%
	Limit orders as percentage of total limit orders	1.15%
	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	94.79%
Limit orders as percentage of total non-directed orders	3.01%
Other orders as percentage of total non-directed orders	2.19%

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

1. Citadel Derivatives Group LLC	26.58%
2. Knight Equity Markets, L.P.	24.11%
3. UBS Securities, L.L.C.	19.45%
4. Automated Trading Desk Financial Services, L.L.C.	12.33%
5. National Financial Services, L.L.C.	11.78%
6. Citigroup Global Markets, Inc.	3.56%
7. Goldman, Sachs & Co.	1.92%
8. BATS Trading, Inc.	0.27%

### Information Concerning Significant Venues :

#### 1. Citadel Derivatives Group LLC

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

Market orders as percentage of total market orders	26.59%
Limit orders as percentage of total limit orders	45.45%
Other orders as percentage of total other orders	0.00%

#### 2. Knight Equity Markets, L.P.

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

Market orders as percentage of total market orders	24.28%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	37.50%

#### 3. UBS Securities, L.L.C.

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

Market orders as percentage of total market orders	19.36%
Limit orders as percentage of total limit orders	27.27%
Other orders as percentage of total other orders	12.50%

#### 4. Automated Trading Desk Financial Services, L.L.C.

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

Market orders as percentage of total market orders	11.56%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	50.00%

#### 5. National Financial Services, L.L.C.

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

Market orders as percentage of total market orders	12.14%
Limit orders as percentage of total limit orders	9.09%
Other orders as percentage of total other orders	0.00%

6. Citigroup Global Markets, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	3.76%
Limit orders as percentage of total limit orders	0.00%
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	2.02%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

8. BATS Trading, Inc.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.29%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

## Securities Listed on NYSE Amex 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	66.82%
Limit orders as percentage of total non-directed orders	4.47%
Other orders as percentage of total non-directed orders	28.71%

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

1. Knight Capital Markets, L.L.C.	33.18%
2. Automated Trading Desk Financial Services, L.L.C.	19.76%
3. Citadel Derivatives Group LLC	18.82%
4. UBS Securities, L.L.C.	18.12%
5. National Financial Services, L.L.C.	9.65%
6. NYSE Arca	0.47%

### Information Concerning Significant Venues :

#### 1. Knight Capital Markets, L.L.C.

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

Market orders as percentage of total market orders	30.99%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	43.44%

#### 2. Automated Trading Desk Financial Services, L.L.C.

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

Market orders as percentage of total market orders	11.27%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	42.62%

#### 3. Citadel Derivatives Group LLC

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

Market orders as percentage of total market orders	23.59%
Limit orders as percentage of total limit orders	15.79%
Other orders as percentage of total other orders	8.20%

#### 4. UBS Securities, L.L.C.

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

Market orders as percentage of total market orders	19.72%
Limit orders as percentage of total limit orders	73.68%
Other orders as percentage of total other orders	5.74%

#### 5. National Financial Services, L.L.C.

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

Market orders as percentage of total market orders	14.44%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. 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	10.53%
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	100.00%
Limit orders as percentage of total non-directed orders	0.00%
Other orders as percentage of total non-directed orders	0.00%

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

1. NYSE Amex Options	20.00%
2. The Boston Option Exchange	20.00%
3. The Chicago Board Options Exchange	20.00%
4. Other	20.00%
5. NYSE Arca Options	10.00%
6. Nasdaq Execution Services, L.L.C.	10.00%

### Information Concerning Significant Venues :

#### 1. NYSE Amex Options

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

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

#### 2. The Boston Option Exchange

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

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

#### 3. The Chicago Board Options Exchange

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

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

#### 4. Other

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

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

#### 5. NYSE Arca Options

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

Market orders as percentage of total market orders	10.00%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

6. Nasdaq Execution Services, L.L.C.

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	10.00%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%