# TD WEALTH MANAGEMENT SERVICES INC. 2059 SPRINGDALE ROAD CHERRY HILL, NJ 08003

# SEC Rule 606 Quarterly Report for the Quarter Ending March 31, 2010

#### 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	87.98%
Limit orders as percentage of total non-directed orders	11.06%
Other orders as percentage of total non-directed orders	0.97%

#### <u>Venues Receiving Significant Percentage of Total Non-Directed Orders :</u>

1.	Knight Capital Markets, L.L.C.	29.61%
2.	National Financial Services, L.L.C.	19.34%
3.	UBS Securities, L.L.C.	19.27%
4.	Citadel Derivatives Group LLC	19.09%
5.	Surge Trading, Inc.	4.17%
6.	Citigroup Global Markets, Inc.	3.63%
7.	Goldman, Sachs & Co.	1.75%
8.	Automated Trading Desk Financial Services, L.L.C.	1.57%
9.	Direct Edge ECN L.L.C.	0.48%
10.	Other	0.30%

## 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	29.88%
Limit orders as percentage of total limit orders	24.59%
Other orders as percentage of total other orders	62.50%

2. National Financial Services, L.L.C.

Market orders as percentage of total market orders	19.99%
Limit orders as percentage of total limit orders	15.85%
Other orders as percentage of total other orders	0.00%

3.	UBS Securities, L.L.C.
	Types of Orders Routed to Venue :
	Market orders as percentage of
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Market orders as percentage of total market orders	18.82%
Limit orders as percentage of total limit orders	21.86%
Other orders as percentage of total other orders	31.25%

## 4. Citadel Derivatives Group LLC

## Types of Orders Routed to Venue :

Market orders as percentage of total market orders	18.89%
Limit orders as percentage of total limit orders	22.40%
Other orders as percentage of total other orders	0.00%

## 5. Surge Trading, Inc.

## Types of Orders Routed to Venue :

Market orders as percentage of total market orders	4.74%
Limit orders as percentage of total limit orders	0.00%
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	3.85%
Limit orders as percentage of total limit orders	2.19%
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	1.92%
Limit orders as percentage of total limit orders	0.55%
Other orders as percentage of total other orders	0.00%

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

## Types of Orders Routed to Venue:

Market orders as percentage of total market orders	1.30%
Limit orders as percentage of total limit orders	3.28%
Other orders as percentage of total other orders	6.25%

## 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	4.37%
Other orders as percentage of total other orders	0.00%

#### 10. Other

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	2.73%
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	83.47%
Limit orders as percentage of total non-directed orders	14.29%
Other orders as percentage of total non-directed orders	2.24%

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

1.	Citadel Derivatives Group LLC	29.39%
2.	UBS Securities, L.L.C.	24.08%
3.	Knight Equity Markets, L.P.	19.39%
4.	National Financial Services, L.L.C.	18.16%
5.	Citigroup Global Markets, Inc.	4.08%
6.	Goldman, Sachs & Co.	2.04%
7.	Other	1.02%
8.	AlterNet Securities Inc.	0.61%
9.	BATS Trading, Inc.	0.41%
10.	Surge Trading, Inc.	0.41%

## Information Concerning Significant Venues :

1. Citadel Derivatives Group LLC

#### Types of Orders Routed to Venue:

Market orders as percentage of total market orders	26.16%
Limit orders as percentage of total limit orders	52.86%
Other orders as percentage of total other orders	0.00%

2. UBS Securities, L.L.C.

#### Types of Orders Routed to Venue:

Market orders as percentage of total market orders	23.47%
Limit orders as percentage of total limit orders	24.29%
Other orders as percentage of total other orders	45.45%

3. Knight Equity Markets, L.P.

## Types of Orders Routed to Venue:

Market orders as percentage of total market orders	20.78%
Limit orders as percentage of total limit orders	5.71%
Other orders as percentage of total other orders	54.55%

4. National Financial Services, L.L.C.

## Types of Orders Routed to Venue:

Market orders as percentage of total market orders	20.54%
Limit orders as percentage of total limit orders	7.14%
Other orders as percentage of total other orders	0.00%

5. Citigroup Global Markets, Inc.

Market orders as percentage of total market orders	4.89%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

## 6. Goldman, Sachs & Co.

Types of Orders Routed to
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Market orders as percentage of total market orders	2.44%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

## 7. Other

# Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	7.14%
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	0.73%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

## 9. BATS Trading, Inc.

## Types of Orders Routed to Venue :

Market orders as percentage of total market orders	0.24%
Limit orders as percentage of total limit orders	1.43%
Other orders as percentage of total other orders	0.00%

## 10. Surge Trading, Inc.

Market orders as percentage of total market orders	0.49%
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	93.33%
Limit orders as percentage of total non-directed orders	5.64%
Other orders as percentage of total non-directed orders	1.03%

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

1.	Citadel Derivatives Group LLC	32.82%
2.	Knight Capital Markets, L.L.C.	28.72%
3.	National Financial Services, L.L.C.	18.97%
4.	UBS Securities, L.L.C.	13.33%
5.	Automated Trading Desk Financial Services, L.L.C.	3.08%
6.	Citigroup Global Markets, Inc.	2.05%
7.	NYSE Arca	0.51%
8.	BATS Trading, Inc.	0.51%

## Information Concerning Significant Venues :

#### 1. Citadel Derivatives Group LLC

#### Types of Orders Routed to Venue:

Market orders as percentage of total market orders	35.16%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%

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

## Types of Orders Routed to Venue:

Market orders as percentage of total market orders	27.47%
Limit orders as percentage of total limit orders	36.36%
Other orders as percentage of total other orders	100.00%

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

## Types of Orders Routed to Venue:

Market orders as percentage of total market orders	18.68%
Limit orders as percentage of total limit orders	27.27%
Other orders as percentage of total other orders	0.00%

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

## Types of Orders Routed to Venue :

Market orders as percentage of total market orders	13.19%
Limit orders as percentage of total limit orders	18.18%
Other orders as percentage of total other orders	0.00%

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

Market orders as percentage of total market orders	3.30%
Limit orders as percentage of total limit orders	0.00%
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	2.20%
Limit orders as percentage of total limit orders	0.00%
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	9.09%
Other orders as percentage of total other orders	0.00%

## 8. BATS Trading, Inc.

Market orders as percentage of total market orders	0.00%
Limit orders as percentage of total limit orders	9.09%
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	36.00%
Limit orders as percentage of total non-directed orders	64.00%
Other orders as percentage of total non-directed orders	0.00%

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

The Chicago Board Options Exchange	40.31%
2. The International Securities Exchange	16.31%
3. NYSE Arca Options	13.85%
4. NYSE Amex Options	12.31%
5. NASDAQ OMX PHLX	9.85%
6. The Boston Option Exchange	4.31%
7. Nasdaq Execution Services, L.L.C.	3.08%

## Information Concerning Significant Venues:

## 1. The Chicago Board Options Exchange

## Types of Orders Routed to Venue :

Market orders as percentage of total market orders	33.33%
Limit orders as percentage of total limit orders	44.23%
Other orders as percentage of total other orders	0.00%

#### 2. The International Securities Exchange

#### Types of Orders Routed to Venue:

Market orders as percentage of total market orders	15.38%
Limit orders as percentage of total limit orders	16.83%
Other orders as percentage of total other orders	0.00%

### 3. NYSE Arca Options

## Types of Orders Routed to Venue:

Market orders as percentage of total market orders	9.40%
Limit orders as percentage of total limit orders	16.35%
Other orders as percentage of total other orders	0.00%

## 4. NYSE Amex Options

#### Types of Orders Routed to Venue:

Market orders as percentage of total market orders	16.24%
Limit orders as percentage of total limit orders	10.10%
Other orders as percentage of total other orders	0.00%

## 5. NASDAQ OMX PHLX

Market orders as percentage of total market orders	8.55%
Limit orders as percentage of total limit orders	10.58%
Other orders as percentage of total other orders	0.00%

# 6. The Boston Option Exchange

Types of Orders Routed to Venue :

Market orders as percentage of total market orders	8.55%
Limit orders as percentage of total limit orders	1.92%
Other orders as percentage of total other orders	0.00%

# 7. Nasdaq Execution Services, L.L.C.

Market orders as percentage of total market orders	8.55%
Limit orders as percentage of total limit orders	0.00%
Other orders as percentage of total other orders	0.00%