



KING – SEC Rule 606 Quarterly Report

Summary Statistics

Quarter: Q1
Year: 2010

	<u>NYSE Listed</u>	<u>AMEX Listed</u>	<u>NASDAQ</u>	<u>Listed Options</u>
Total customer orders as a percentage	47	7	40	6
Non-directed orders as a percentage of total customer orders	45	7	40	1
Market Orders as a percentage of non-directed orders	0	0	0	10
Limit Orders as a percentage of total non-directed orders	0	0	1	89
Other orders as a percentage of total non-directed orders	99	100	99	0

Significant Venues

Note:		<u>NYSE Listed</u>	<u>AMEX Listed</u>	<u>NASDAQ</u>	<u>Listed Options</u>
1	NYSE	57	0	0	0
1	AMEX	0	80	0	0
1	Pershing LLC	0	0	0	100
1	Knight Trading	12	2	33	0
1	NASDAQ	0	0	37	0
2	NYSE ARCA	28	18	2	0
3	C.L. King & Associates, Inc	1	0	21	0

KEY

1 – Executed by a broker independent of KING and paid an execution fee 3 – Executed directly with a market maker
2 – Displayed or executed through an ECN where KING pays a fee

Inquiries may be made regarding the routing of individual trades by contacting Gregg Miller @ 518-431-3534 or by email @ gam@clking.com. Written copies of this report will be furnished free of charge upon request.