

ORDER ROUTING PRACTICES

Under SEC Rule 606 (formerly, Rule 11Ac1-6), broker-dealers that route customer orders in equity and option securities are required to make publicly available quarterly reports that, among other things, identify the venues to which customer orders are routed for execution. In addition, broker-dealers are required to disclose to customers, on request, the venues to which their individual orders were routed.

Prospera Financial Services directs all of its order flow to its clearing broker, First Clearing Corporation LLC, for routing and execution. Prospera Financial Services does not receive compensation for directing order flow to First Clearing.

To view First Clearing's 606 (formerly, Rule 11Ac1-6) statistical report of its order routing practices, please access the below link: <http://www.firstclearingllc.com/Report/FirstClearing/default.htm>

To obtain information about the routing of a specific order executed please send your written request to:

Prospera Financial Services

Attn: Trading Dept
5429 LBJ Frwy STE. 400
Dallas, TX 75240



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