

Order Routing Practices

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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 order flow to its clearing brokers for routing and execution. Our clearing brokers are First Clearing LLC¹ and Pershing LLC. Prospera does not receive compensation for directing order flow.

FIRST CLEARING LLC CLIENTS:

To view First Clearing LLC's 606 (formerly Rule 11Ac1 -6) statistical report of its order routing practices, please access this link:

<https://www.wellsfargoclearingservicesllc.com/disclosures/order-routing.htm>

PERSHING LLC CLIENTS:

Pershing has provided the data concerning the routing of order flow (the "Data") on the order routing disclosure website. Although Pershing has used commercially reasonable efforts to provide accurate data, the Data is provided to you on an "as is" basis.

If you would like to view the order routing disclosure please access the following link:

https://www.pershing.com/_global-assets/pdf/disclosures/per-order-routing-sec-rule-606.pdf

If you have any concerns about order routing practices, please call 972-581-3000.

¹ First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.



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