

## ORDER ROUTING PRACTICES

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### 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 orders were routed

Prospera Financial Services directs order flow to its clearing brokers for routing and execution. Our clearing brokers are First Clearing LLC<sup>1</sup> and RCB Clearing & Custody. Prospera does not receive compensation for directing order flow.

### Order Routing Practices

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>

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

<https://www.rbcwm-usa.com/legal/rbc-cs/cid-360855.html>

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

<sup>1</sup> 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.