



DISCLOSURE NOTICE

June 2020

Dear Valued Client:

R. Seelaus & Co., LLC (“RSCO”) is a U.S. registered Securities and Exchange Commission (“SEC”) broker-dealer, member of the Financial Industry Regulatory Authority (“FINRA”). To meet regulatory requirements, we are providing the following disclosures for your information. Should you have any questions regarding this letter, please do not hesitate to contact your relationship manager. No action is required of you with regard to the production of this disclosure notice. Thank you for the opportunity to serve your financial needs.

DISCLOSURE OF FINANCIAL INFORMATION TO CUSTOMERS (FINRA Rule 2261)

Pursuant to “*FINRA Rule 2261: Disclosure of Financial Condition to Customers*” issued by the Financial Industry Regulatory Authority (“FINRA”), R. Seelaus & Co., LLC will make available to customers on request information contained in our most recent balance sheet. If interested, please contact our Chief Financial Officer at the following contact details:

R. Seelaus & Co., LLC
Attention: Chief Financial Officer
26 Main Street, Suite 300, Chatham, NJ 07928
Telephone #: 1-908-273-3011 ext 3004
Email: kpajdak@rseelaus.com

SIPC DISCLOSURE (FINRA Rule 2266)

Pursuant to “*FINRA Rule 2266: SIPC Information to Customers*”, R. Seelaus & Co., LLC would like to remind customers that they may obtain information about the Securities Investor Protection Corporation (“SIPC”), including the SIPC brochure, by contacting SIPC at the following contact information:

SIPC Website: <https://www.sipc.org/>

SIPC Brochures: <https://www.sipc.org/news-and-media/brochures>

SIPC Mailing Address:

Securities Investor Protection Corporation (SIPC)
1667 K St. N.W., Suite 1000, Washington, D.C. 20006-1620
Telephone: (202) 371-8300
Fax: (202) 223-1679
Email: asksipc@sipc.org



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INVESTOR EDUCATION AND PROTECTION (FINRA Rule 2267)

Pursuant to “*FINRA Rule 2267: Investor Education and Protection*”, R. Seelaus & Co., LLC would like to remind customers that they may obtain information regarding FINRA BrokerCheck and FINRA itself at the following contact details:

FINRA Website: <https://www.finra.org/#/>

FINRA BrokerCheck: <https://brokercheck.finra.org/>

FINRA BrokerCheck online informational website: <https://www.finra.org/investors/learn-to-invest/choosing-investment-professional/about-brokercheck>

For further questions regarding FINRA BrokerCheck, please do not hesitate to call the BrokerCheck telephone hotline number at (800) 289-9999.

CUSTOMER COMPLAINT DISCLOSURE (Securities Exchange Act Rule 17a-3(a)(18))

In the event a customer would like to register a complaint regarding R. Seelaus & Co., LLC, please contact us at the following address:

R. Seelaus & Co., LLC
Attention: Chief Compliance Officer
26 Main Street, Suite 300, Chatham, NJ 07928
Telephone #: 1-908-273-3011 ext 3015
Email: dzack@rseelaus.com

SEC RULE 606 NOTICE DISCLOSURE OF ORDER ROUTING INFORMATION (EQUITY SECURITIES)

SEC Rule 606 requires broker dealers to publicly disclose their order routing practices for non-directed client orders, as well as the material aspects of the relationships with the entities to whom the orders are routed. R. Seelaus & Co., LLC clears all of its equity and options trades through Pershing, LLC. In accordance with the requirements of Rule 606, please refer to the following link for the publication of our Rule 606 report detailing our order routing information: <https://www.rseelaus.com/legal/>. A copy of the respective quarterly firm reports may also be requested from your relationship manager. In addition, pursuant to SEC Rule 606(b), individual client order routing information is also available to clients upon request.

SEC RULE 607 NOTICE DISCLOSURE REGARDING PAYMENT FOR ORDER FLOW (EQUITY SECURITIES)

Securities and Exchange Commission Rule 607 requires all registered broker-dealers to provide disclosures to customers regarding payment for order flow practices. R. Seelaus & Co., LLC routes equity orders to exchanges, electronic communication networks, or to other broker-dealers during normal business hours and during extended trading sessions. Some of those market centers may provide payments or charge access fees to R. Seelaus & Co., LLC depending upon the characteristics of the order and any subsequent executions. Information regarding these



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payments can be found by viewing R. Seelaus & Co., LLC's SEC Rule 606 Quarterly Routing Disclosure reports either via our clearing firm BNY Pershing, through SS&C Technologies, or through our Firm website. In addition, a paper copy may also be provided on request, along with any other details of these payments and fees. R. Seelaus & Co., LLC may receive compensation from routing exchange-listed options routed to broker-dealer intermediaries, which may utilize smart order routing technology or customized algorithms to achieve the best execution available under the particular circumstances of the specific transaction requested.

BUSINESS CONTINUITY PLAN DISCLOSURE ("BCP") (FINRA Rule 4370)

Pursuant to FINRA Rule 4370, R. Seelaus & Co., LLC has created and maintains a written BCP with procedures that are reasonably designed to enable firms to meet their obligations to customers, counterparties and other broker-dealers during an emergency or significant business disruption. R. Seelaus & Co., LLC, if necessary, will update this BCP in light of changes to firms' operations, structure, business or location periodically. In addition, as a U.S. Securities and Exchange Commission registered broker dealer, member FINRA and SIPC, we will coordinate our BCP with the BCP of our clearing firms BNY Pershing and Industrial and Commercial Bank of China. In the event of a business disruption, our goal is not only to safeguard our employees and property but to take the necessary steps to resume operations as quickly as possible depending upon the nature, scope, and severity of the business interruption.

In the event a client is unable to reach their relationship manager, please do not hesitate to contact the following firm contacts:

R. Seelaus & Co., LLC
Attention: Karolina Pajdak, Chief Financial Officer
26 Main Street, Suite 300, Chatham, NJ 07928
Telephone #: 1-908-273-3011 ext 3004
Email: kpajdak@rseelaus.com

R. Seelaus & Co., LLC
Attention: David Zack, Chief Compliance Officer
26 Main Street, Suite 300, Chatham, NJ 07928
Telephone #: 1-908-273-3011 ext 3015
Email: dzack@rseelaus.com

USA PATRIOT ACT ANTI-MONEY LAUNDERING NOTICE

In accordance with the *United and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruction Terrorism Act* ("USA Patriot Act") and to help the government fight the funding of terrorism and money laundering activities, financial institutions are required by Federal law to obtain, verify, and record information that identifies each individual or entity that opens an account or requests credit.

What this means for individuals: When an individual opens an account or requests credit, we will ask for certain information regarding individuals which may include, but is not limited to, their name, residential address, date of birth, tax identification number, investing history, current place of employment, and any other information that allows us to identify them in a meaningful way. We may also ask to see a driver's license, passport or other identifying documents.

What this means for other legal entities: When a corporation, partnership, trust or other legal entity opens an account or requests credit, we will ask for the entity's name, physical address, tax identification number and other information that will allow us to identify the entity. We may also ask to see other identifying documents, such as certified articles of incorporation, partnership agreements or a trust instrument.



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We may use documentary and non-documentary methods to obtain information from independent sources that will allow us to identify you. In the event that we do not receive the sufficient information to know our customer, R. Seelaus & Co., LLC reserves the right to either deny a new account opening or may close an existing account if the information set forth in a client file is no longer current.

ANNUAL MUNICIPAL SECURITIES RULEMAKING BOARD NOTICE (MSRB Rule G-10)

R. Seelaus and Co., LLC is a broker-dealer registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board ("MSRB").

MSRB's website may be found at: www.msrb.org.

Please be advised that informational brochures are available on the MSRB's website entitled "*Information for Municipal Securities Investors*" and/or "*Information for Municipal Advisory Clients*" which describe the protections that may be provided by the MSRB's rules and how to file a complaint with an appropriate regulatory authority.

Should you have any questions regarding this letter, please do not hesitate to contact our Compliance Department at 908-273-3011. This is an informational notice and a reply is not required.

We are forwarding this communication to your attention for your files. If you are not the correct contact person to receive these notices, kindly send an email with the name, email, and telephone number of the individual responsible to receive notices.