

February 15, 2019

SEC Rule 606 of Regulation NMS

Disclosure of Order Routing Information, formerly Rule 11Ac1-6

SEC Rule 606 requires broker dealers to publicly publish reports which detail the venues to which customer directed and non-directed orders were routed for execution. The reports will include certain transaction details including the destination of the orders and the time of execution.

R. Seelaus & Co., Inc. (RSC) clears all of its equity and options trades through Pershing, LLC. In accordance with the requirements of Rule 606, RSC has contracted with both Pershing and SS&C Technologies to publish its order routing information.

RSC Order Routing Reports may be found at:

- For Pershing LLC, the report may be found at [link](#);
- For SS&C Technologies, the report may be found at [link](#).

A copy of the respective reports may also be requested from your financial advisor.

Disclaimer regarding the production of order routing information

While RSC has prepared the attached Rule 606 reports to the best of its belief and knowledge, prospective clients who are considering R. Seelaus & Co., LLC should be aware that the aforementioned reports have not undergone an independent audit and are subject to update and change as appropriate and necessary. An informed decision to open an account with RSC should be made following an exhaustive evaluation of the goods and services provided to satisfy each client's individual facts and circumstances rather than solely on the basis of this report.