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BUSINESS ENTERPRISE

June 1, 2020

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 orders were routed for execution.

Our firm routes 100% of our retail non-directed orders (defined as “held” orders) in National Market System (NMS) equities and options to our clearing broker, Pershing LLC, for further handling, routing, and execution. We do not receive payment for our retail non-directed order flow executed through Pershing.

R. Seelaus & Co., LLC (“RSCO”) Order Routing Reports may be found at the following link:

- For Pershing LLC, the report may be found by clicking the link below:
<https://www.orderroutingdisclosure.com>

In the text box for Broker-Dealer’s full name enter **“R. Seelaus & Co., LLC.”**
(include the period after “LLC”).

A hard copy of the respective reports may also be requested from your account manager.

Disclaimer regarding the production of order routing information

The attached Rule 606 report has been prepared to the best of our belief and knowledge. Prospective clients who are considering R. Seelaus & Co., LLC should be aware that the 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 based on this report.