Under Rule 605 of SEC Regulation NMS, market centers that trade national market system securities are required to make publicly available monthly electronic reports that include uniform statistical measures of execution quality.

Under Rule 606 of SEC Regulation NMS, broker-dealers that route customer orders in equity and options securities are required to make publicly available quarterly reports that, among other things, identify the venues to which customer orders are routed for execution.

Please visit Broadridge’s website, show a linked page in a new window<https://brxecs.broadridge.com/public/d4568e59-8f68-d4d7-9c90-b6a0d29ab1c6> to view the most recent disclosures.

In addition, upon written request, DCMA will provide the identity of the venue to which an order was routed for execution in the six months prior to the request, whether the order was directed or non-directed, and the time of the transaction, if any, that resulted from such order.