

Disclosure of Order Routing Information

U.S. Securities and Exchange Commission (SEC) Rule 606(a) requires all brokerage firms to make publicly available quarterly reports, broken down by calendar month, containing certain required statistical information regarding the routing of held, non-directed customer orders in Regulation National Market System stocks, as well as both held and not held, non-directed customer orders in listed options with a market value of less than \$50,000.

You may view our Rule 606 order reports at: <https://www.schwab.com/legal/order-routing-1>

FINRA Broker Check link. (This maybe an easier option since it was already on the site) More information can be found at:

<https://www.finra.org/compliance-tools/rule-2210-brokercheck>

OR:

A link to <https://adviserinfo.sec.gov/>