



## **SEC Rule 606**

### Disclosure of SEC-Required Order Routing Information

Pursuant to the U.S. Securities and Exchange Commission's Rule 606, all brokerage dealers are required to make publicly available quarterly reports on their order routing practices. The report provides information on the routing of "non-directed orders" — any order that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, Capital Synergy Partners, Inc. has selected the execution venue on behalf of its customers.

The report is divided into four sections: one for securities listed on the New York Stock exchange, one for securities listed on The NASDAQ Stock Market, one for securities listed on the American Stock Exchange or regional exchanges, and one for exchange-listed options. This report may be viewed at <http://www.rbccorrespondentservices.com/cid-112218>.

For each section, this report identifies the venues most often selected by Capital Synergy Partners, Inc. sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects of the Capital Synergy Partners, Inc. relationship with the venues.

Should you have any additional questions concerning order routing, you may submit a written request for additional information to our Customer Service Department located at 4400 MacArthur Blvd., Suite 230, Newport Beach, CA 92660.