



THOMPSON DAVIS ASSET MANAGEMENT

SEC Rule 606

Under Rule 606 of Regulation NMS as adopted, a broker-dealer that routes orders on behalf of customers will be required to prepare quarterly reports that disclose the identity of the venues to which it routed orders for execution, subject to certain exceptions.

TD & Co. sends Equity and Options orders to its clearing broker, RBC Clearing Services, for routing and execution. [This RBC Clearing Services site at S3 holds those quarterly reports.](#)

For additional information regarding SEC Rule 606, TD & Co. recommends that you visit the U.S. Securities and Exchange Commission website at <https://www.SEC.gov/>