

## **SEC Rule 606: Quarterly Report on Routing of Customer Orders**

U.S. Securities and Exchange Commission ("SEC") Rule 606 (formerly Rule 11Ac1-6) of Regulation NMS requires all brokerage firms to make publicly available quarterly reports that provide an overview of their order routing practices in covered equity and options securities. Scotia Capital (USA) Inc. ("SCUSA") is publishing statistical information about its routing practices for non-directed orders in U.S. exchange-listed equity securities and options ("Rule 606 Report").

The Rule 606 Report is divided into four sections. Section 1 is for securities listed on the New York Stock Exchange; section 2 is for securities listed on the Nasdaq Stock Market; section three is for securities listed on the American Stock Exchange or regional exchanges; and, section four is for exchange-listed options.

To view SCUSA's SEC Rule 606 Reports on Routing of Customer Orders, click on the following link:

<http://vrs.vista-one-solutions.com/sec606rule.aspx>.

For more information regarding Rule 606 you may visit the SEC website at [www.sec.gov](http://www.sec.gov) or by clicking on the following link to interpretative frequently asked questions about SEC Rule 606

<http://www.sec.gov/interps/legal/mrs1b13a.htm>.

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