



## FIRM ORDER ROUTING

The Securities and Exchange Commission Rule 606 of Regulation NMS requires every broker-dealer that routes orders to make publicly available quarterly reports that presents statistical information about non-directed customer orders in certain equity and option securities. The quarterly report must disclose any material aspects of the broker-dealer's relationship with each of the top ten venues with the largest number of non-directed orders. As an introducing firm, Wintrust Investments transmits all orders to its clearing firm, Wells Fargo Clearing Services, LLC ("WFCS"). WFCS makes the routing decisions concerning non-directed orders and routes non-directed orders to selected market makers and exchanges for execution. As such, Wintrust Investments adopts by reference WFCS' report on routing of customer orders. A written copy of where your individual orders were routed for execution is available by contacting Wintrust Investments Compliance Department at (800) 621-4477. To view WFCS' quarterly reports, [CLICK HERE.](#)