

## Sales & Trading Disclaimers

### **Best Execution: SEC Regulation NMS Rule 605**

In compliance with SEC Regulation NMS Rule 605 (formerly Rule 11Ac1-5) Wedge Securities, LLC does not have any order execution information to disclose as it only accepts “not held” orders which are specifically exempted from display per Rule 605 (b)(15).

### **Order Routing: SEC Regulation NMS Rule 606**

In compliance with SEC Regulation NMS Rule 606 (formerly Rule 11Ac1-6) Wedge Securities, LLC is currently exempt from the public posting requirements under the De Minimus exemption set out in Question 20 of SEC Staff Legal Bulletin No. 13A dated October 16, 2001.

### **Payment for Order Flow**

Wedge Securities, LLC does not engage in any agreements for payment for routing order flow to or receiving order flow from any designated exchanges, market makers, broker dealers or market centers. Nor does it engage in any other arrangements that are required to be disclosed as defined in SEC rule 10b-10(d)(9).