



## Order Routing and Payment for Order Flow Disclosure

Under SEC Rule 606(a), broker-dealers that route equity and option orders on behalf of customers are required to prepare quarterly reports that disclose specific information about their order routing practices for non-directed order (i.e. Any order that the customer has not specifically instructed to be routed to a particular venue for execution.) in NMS stocks and option contracts in NMS securities.

### Apex Fintech Brokerage Services LLC PFOF Practices

Apex Fintech Brokerage Services LLC ("AFBS") routes all customer orders to its clearing firm, Apex Clearing Corp. ("Apex"). Apex subsequently routes those orders to broker-dealers or market centers for execution. The broker-dealers and market centers that Apex routes orders to may include dealers who make markets in the subject securities. AFBS does not receive remuneration for orders it routes to Apex, including any execution venue fees or rebates that may be paid by an executing venue. However, Apex may receive remuneration (i.e. payment for order flow) from executing venues through maker-taker pricing or other applicable execution venue fees or rebates.

Please click [here](#) to view the most recent quarterly report.

### Other Information

Under SEC Rule 606(b)(1), customers can request specific order routing and execution information for the preceding six months. The information will include the identity of the venue where your orders were routed for execution, whether the orders were directed or non-directed, and if executed, the time of execution.

Under SEC Rule 606(b)(3), broker-dealers are required, upon request of a customer that places not-held orders, to provide specific disclosures regarding routing and execution of such orders for the prior six months.