



# Order Routing Practices

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## **ORDER ROUTING PRACTICES**

Under SEC Rule 606 (formerly, Rule 11AC1 -6), broker-dealers that route customer orders in equity and option securities are required to make publicly available quarterly reports that, among other things, identify the venues to which customer orders are routed for execution. In addition, broker-dealers are required to disclose to customers, on request, the venues to which their individual orders were routed.

Nations Financial Group, Inc. directs order flow to its clearing broker for routing and execution. Our clearing broker is First Clearing LLC<sup>1</sup>. Nations Financial Group, Inc. does not receive compensation for directing order flow.

## **FIRST CLEARING LLC CLIENTS:**

To view First Clearing LLC's 606 (formerly Rule 11Ac1 -6) statistical report of its order routing practices, please access this link:

<https://www.wellsfargoclearingservicesllc.com/disclosures/order-routing.htm>

<sup>1</sup> First Clearing is a trade name used by Wells Fargo Clearing Services, LLC , Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company.