



SEC Rule 606 Routing Report & Rule 607 Disclosure

SEC Rule 606 Routing Report

Pursuant to SEC Rule 606, TradeZero America, Inc. ("TZA") is required to make a publicly available quarterly report with regard to its routing of non-directed orders.

For the purpose of this Rule, we have entered into an agreement with S3 Matching Technologies to disclose all required information pertaining to this rule.

This information can be accessed on the internet following this link: <http://public.s3.com/rule606/zero/>

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.

SEC Rule 607 Disclosure

Securities and Exchange Commission Rule 607 requires all registered broker-dealers to provide disclosures to customers about payment for order flow practices upon the opening of a new account and annually thereafter.

TZA sends certain equity orders to exchanges, electronic communication networks, or broker-dealers (collectively "Market Centers") during normal trading hours and during extending trading sessions. Certain Market Centers to which TZA routes order flow may either pay TZA a per share or per contract rebate or charge TZA a per share or per contract fee depending on individual order characteristics including, for example, price, order type, marketability of the order, and time in force. For the most up to date details concerning these Market Centers and their rebate and/or fees can be found in Material Aspects section of TZA's quarterly SEC Rule 606 order routing report found here: [SEC Rule 606 Report](#).

In addition, a paper copy may also be provided on request, along with any other details of these payments and fees. TZA receives compensation from routing orders in exchange-listed options to broker-dealer intermediaries, which in turn utilize smart order routing technology or customized algorithms to achieve the best execution available in the market. Compensation is generally in the form of per/share or per-option contract cash payment.