



Securities

## **SEC Rule 606 Notification – Disclosure of Order Routing Information**

U.S. Securities and Exchange Commission (SEC) Rule 606(a) requires all brokerage firms to make publicly available quarterly reports, broken down by calendar month, containing certain required statistical information regarding the routing of held, non-directed customer orders in Regulation NMS stocks, as well as both held and not held, non-directed customer orders in listed options with a market value of less than \$50,000. Monex Securities, Inc. (“Monex”) is publishing such quarterly report in accordance with Rule 606(a) and will keep the report publicly available for a period of three (3) years.

The report contains a section for Regulation NMS stocks (separated by securities that are included in the S&P 500 Index as of the first day of the quarter and other Non-S&P 500 stocks) and a separate section for listed options. For each section, the report identifies the venues to which Monex routed the relevant orders and, for each venue, the required statistical information broken down by order type (i.e., market order, marketable limit order, non-marketable limit order and other orders). Each section of the report also contains information regarding the material aspects of Monex’s relationship, if any, with each venue.

Each quarterly report for Monex is available at <https://www.orderroutingdisclosure.com/> please type the full name of our Broker-Dealer “Monex Securities, Inc.”

Monex Securities, Inc. will make its order routing information available upon written request directed to Ruben Contreras at 440 Louisiana Street, Suite 1240, Houston, Texas 77002.