

# SEC Required Order Execution Information

On November 17, 2000, the Securities and Exchange Commission ("SEC") adopted Exchange Act Rule 605 and Rule 606. Rule 605 requires market centers that trade national market system securities to prepare, and make available to the public, monthly reports that include uniform statistical measures of execution quality for certain orders received or executed by a market center during regular business hours. Rule 606 requires broker-dealers that route customer orders in equity and option securities, to make publically available quarterly reports that disclose venues to which broker-dealers route non-directed orders. The broker-dealer must also disclose any relationships that they have with that venue.

BMO Capital Markets is utilizing the services of **VistaOne Regulatory Services** to provide the necessary order execution information pursuant to SEC Rule 605 and Rule 606. To obtain our order execution information, please see: [SEC Rule 605 information](#) and [SEC Rule 606 information](#) and [FINRA Rule 2265 After Hours Trading](#).

Pursuant to SEC Rule 606, routing information about specific orders will be provided to our customers upon request. Our customers can contact [Liz Bailey](#) to request routing information regarding specific orders.