

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

1. Go to the VistaOne website located at: <http://vrs.vista-one-solutions.com/sec606rule.aspx>
2. In the Broker/Dealer drop down box and Quarter review box click on SunTrust Robinson Humphrey, Inc. and the period you wish to analyze. Click on “Display”.

Please see notes 2 & 3 in conjunction with this review.

### **Note 2**

- For transactions where it acts as principal, SunTrust Robinson Humphrey, Inc. stands to share in 100% of whatever profits it generates by trading as principal with its customers' orders.

### **Note 3**

- The Securities & Exchange Commission requires that SunTrust Robinson Humphrey, Inc. disclose its policies pertaining to payment for order flow. In that regard, please note that SunTrust Robinson Humphrey, Inc. does not pay for order flow or receive payment for order flow from any source under any circumstance.

### **Note 4**

- Pursuant to Securities & Exchange Commission Rule 606, SunTrust Robinson Humphrey, Inc. is required to make publicly available quarterly reports regarding its routing practices, including those pertaining to options. These reports provide information pertaining to the routing of “non-directed orders”, or those orders that customers have not specifically instructed to be routed to a particular venue for execution. In that regard, SunTrust Robinson Humphrey, Inc. routes all of its option orders to National Financial Services LLC, its clearing firm, for execution. National Financial Services LLC may route those orders to other venues for execution. Information regarding the venues to which National Financial Services LLC routes option orders may be obtained by accessing its website at <https://nationalfinancial.fidelity.com>. SunTrust Robinson Humphrey, Inc. does not receive any payment for order flow from National Financial Services LLC or any other venue for this routing practice.

### **Note 5**

- SunTrust Robinson Humphrey, Inc. will make available to any client the identity of the venue to which the client's orders were routed for execution during the six months prior to a client's request, whether the orders were directed or non-directed orders, and the time of the transactions, if any, that resulted from the orders. If you would like to request this information with respect to any order you have placed, please telephone Kevin Humphrey at (404) 926-5205 or submit a written request to him at: 3333 Peachtree Rd. NE, 11th Floor, Atlanta, Georgia 30326.