

DISCLOSURE OF SEC REQUIRED ORDER EXECUTION AND ROUTING INFORMATION

SEC Rule 606 Reports

Pursuant to Rule 606 adopted by the Securities and Exchange Commission, Cowen Prime Services LLC is presenting certain information with respect to orders executed during the preceding quarter. You can obtain this information by accessing the respective link below.

- [Pershing \(CCMB\) Order Routing Disclosure](#)
- [Pershing \(NPTP\) Order Routing Disclosure](#)
- [Pershing \(CNFR\) Order Routing Disclosure](#)
- [Merrill Lynch Broadcort \(ATPA\) Order Routing Disclosure](#)
- [Merrill Lynch Pro \(CCML\) Order Routing Disclosure](#)
- [ICBC \(CMKT\) Order Routing Disclosure](#)
- [Goldman Sachs \(CCMK\) Order Routing Disclosure](#)
- [Goldman Sachs \(NPNT\) Order Routing Disclosure](#)
- [Interactive Brokers \(CXPS\) Order Routing Disclosure](#)

Affiliate Disclosure

Cowen Prime Services LLC is a U.S. registered broker-dealer and as such is subject to a multitude of regulation through both the SEC and Self-Regulatory Organizations (i.e. FINRA) associated with order handling and best execution. Cowen Prime complies with all of these requirements and execution quality and routing information can be viewed at www.cowen.com. Cowen Prime Services LLC, through its Parent, Cowen Group Inc., is under common control with two broker-dealer affiliates: Cowen and Company, LLC and ATM Execution LLC. To efficiently and economically execute transactions in certain types of securities, the execution capability of our affiliates may be utilized. The execution policies as well as the execution quality and routing information of Cowen and Company, LLC and ATM Execution LLC can be viewed at www.cowen.com.