

**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](http://www.cowen.com). Cowen Prime Services LLC, through its Parent, Cowen Inc., is under common control with three broker-dealer affiliates: Cowen and Company, LLC, ATM Execution LLC, and Cowen Execution Services 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, ATM Execution LLC, and Cowen Execution Services LLC can be viewed at [www.cowen.com](http://www.cowen.com).