

# Order Routing Disclosures (Rules 606 & 607)



Altruist Financial LLC

## SEC Rule 606

Altruist Financial LLC ("Altruist") is required by the Securities and Exchange Commission (SEC) to disclose its policies with respect to payment for order flow. According to the SEC, payment for order flow may include monetary payment, reciprocal agreements, services, property, or any other benefit that results in remuneration, compensation, or consideration to a broker-dealer in return for routing of customer order flow and includes exchange rebates and credits.

Altruist participates in payment for order flow programs that result in Altruist receiving remuneration, compensation, or consideration for directing orders to other broker-dealers for execution. The source and nature of such compensation received will be furnished upon written request.

Altruist does not base its routing decisions on the size of a rebate, since all market makers, to which orders are routed, must agree to pay the same per-share or per-contract rate. For the purpose of this Rule, the Firm has entered into an agreement with S3 Matching Technologies to disclose all required information pertaining to this Rule. This information can be accessed at: <https://public.s3.com/rule606/altruist/>.

SEC Rule 606(b) requires a broker-dealer to disclose to its customers, upon request, "the identity of the venue to which the customer's orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders." You can request this information at [compliance@altruist.com](mailto:compliance@altruist.com).

## SEC Rule 607

Altruist sends certain equity orders to other broker-dealers during normal business hours and during extended trading sessions. Altruist receives rebates from these market venues to which orders are routed and pays fees for the execution of certain orders. Altruist does not base its routing decisions on the size of a rebate, since all market makers, to which orders are routed, must agree to pay the same per-share or per-contract rate. In addition, Altruist may execute certain equity orders as principal. The details of these payments and fees are available upon written request.