



SEC RULES 606 AND 607 DISCLOSURES

606: Order Routing Information

SEC Rule 606(a) requires brokerage firms to make publicly available a quarterly report with regard to its routing of non-directed orders in NMS stocks that are submitted on a held basis. M1 Finance LLC (“M1”) accepts non-directed orders in NMS stocks that are submitted on a not held basis and therefore is not required to provide this report.

Upon request, M1 will provide to customers information on the order routing of their orders pursuant to SEC Rule 606(b)(1) and (3). Customers may submit a request for a written copy of the report by emailing support@m1finance.com.

607: Payment for Order Flow

Pursuant to SEC Rule 607, M1 is required to disclose at the time your account is opened, and annually thereafter: (i) our policies regarding payment for order flow, including a statement as to whether any payment for order flow is received for routing customer orders and a detailed description of the nature of the compensation received; and (ii) our policies for determining, in the absence of specific customer instructions, where to route customer orders that are the subject of payment for order flow, including a description of the extent to which orders can be executed at prices superior to the National Best Bid/Offer (“NBBO”).

We route your equity orders to market makers for execution. M1 receives payment or rebates from the executing venue for routing trade orders to them. The amount of the payment or rebate will be furnished to you upon request via email to support@m1finance.com.

M1’s order routing decisions are based on a number of factors including the size of the order, the opportunity for price improvement, and the quality of order executions. We regularly review our execution quality to ensure your orders meet our duty of best execution.