

## MBSC Securities Corporation

50 Fremont Street, Suite 1600, San Francisco, CA

### SEC Rule 606 Reporting Disclosure

MBSC Securities Corporation (MBSC), a Bank of New York Mellon Corporation and member FINRA, is required by SEC Rule 606 to disclose its order routing practices on a quarterly basis. MBSC will generally be the introducing broker and will act strictly in an agency capacity. MBSC does not receive compensation for directing order flow to any of the executing brokers it utilizes for trading. MBSC employs two separate lines of business entities both of which are responsible for reporting, independently of each other, their own order routing activity. This particular report, referenced on (website address reference), pertains to institutional trading performed by MBSC. The data below represents all institutionally traded non-directed orders routed to broker dealers for execution.

The other MBSC line of business order routing report that pertains to retail brokerage can be accessed at the Pershing supported site:  
"http://www.orderroutingdisclosure.com/orderrouting/HOME".

MBSC specifically disclaims all warranties express or implied with respect to the information including specifically, but not exclusively, warranties of merchantability, fitness for a particular purpose and non-infringement. You agree that MBSC shall not have any liability for any indirect, consequential, special or direct damages for any action or inaction which you may take as the result of the data, whether as a result of any claim sounding in contract or any other theory of liability.

This data is for informational purposes only and is not intended as an offer or solicitation with respect to the purchase or sale of any security. Pershing LLC and MBSC are affiliated firms, each a wholly-owned subsidiary of The Bank of New York Mellon Corporation.

### SEC Rule 606 Report Statistics – 3<sup>rd</sup> Quarter 2009

#### Exhibit A

##### NYSE

	Non-Directed Orders	Market Orders
<b>Total Customer Orders</b>	100%	100%
Deutsche Bank	0.49%	0.49%
ITG	39.41%	39.41%
Guzman & Co	9.97%	9.97%
UBS Warburg	7.52%	7.52%
BNY Convergenx Execution Solutions, LLC	42.61%	42.61%
	100%	100%

#### Exhibit B

##### NASD

	Non-Directed Orders	Market Orders
<b>Total Customer Orders</b>	100%	100%
Deutsche Bank	0.09%	0.09%
ITG	29.48%	29.48%
Guzman & Co	2.94%	2.94%
UBS Warburg	2.20%	2.20%
BNY Convergenx Execution Solutions, LLC	60.53%	60.53%
BNY Convergenx Global Markets (G-Trade)	4.76%	4.76%
Total	100%	100%

#### Exhibit C

##### AMEX

	Non-Directed Orders	Market Orders
<b>Total Customer Orders</b>	100%	100%
ITG	18.93%	18.93%
Guzman & Co	1.01%	1.01%
UBS Warburg	6.54%	6.54%
BNY Convergenx Execution Solutions, LLC	73.52%	73.52%
TOTAL	100%	100%

#### Exhibit D

##### OPTIONS

	Non-Directed Orders	Market Orders
<b>Total Customer Orders</b>	0.0%	0.0%

None

\*BNY Convergenx Execution Solutions, LLC and BNY Convergenx Global Markets are both affiliated firms of MBSC Securities Corporation.