Disclosure of Order Routing (SEC Rule 606)
Annual Customer Notification

下单披露（**SEC606**法规）
年度客户通知单

In accordance with SEC Rule 606 Roth Capital Partners, LLC ("ROTH") is providing its customers with this annual notice regarding a customer's right to information concerning the routing of their orders for execution.

根据美国证监会(SEC)606法规，罗仕证券（以下简称罗仕）向其客户提供年度通知,告诉客户对其订单执行情况有知情权。

ROTH is required to publish quarterly statistics regarding its customer agency order routing practices. The purpose of the report is to provide the public with information on how broker-dealers route their customers' orders, to enable customers (and others) to evaluate order routing practices. The Rule was adopted by the SEC to enhance market transparency and foster competition among market participants. This information is available on the internet at *www.roth.com* and in hard copy for those who do not have access to the internet. The report is published by the end of the month following the calendar quarter reported. In addition to quarterly reports, information about the routing of individual customer orders is available to customers, upon request, for the prior six months' trading activity.

罗仕被要求每季度发布关于其客户代理订单的执行情况的数据。这份报告的目的是向公众提供券商是如何执行其客户订单的，使客户（以及其他人）能够评估订单的执行情况。SEC采纳这一法规是为了提高市场透明度以及鼓励市场参与者之间的竞争。这些信息您可以登陆罗仕的官方网站www.roth.com。对那些无法上网的人我们有印刷资料。这份报告一般在自然年季度报告后一个月的月底发布。除这份报告之外，个人客户的订单执行情况，根据客户要求，可提供前六个月交易活动信息。

All customer inquiries regarding order routing should be directed to:
所有需要订单执行情况的客户可以直接按如下方式联系我们：

Roth Capital Partners, LLC
Compliance Director
24 Corporate Plaza
Newport Beach California 92660
(949)720-5700