

USA Patriot Act

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

Securities and Exchange Commission Rule 605/606

Securities and Exchange Commission Rule ("SEC") 605 requires market centers that trade National Market System securities to make available to the public monthly electronic reports that include uniform statistical measures of execution quality. These reports are available as electronic data files downloadable in a raw form appropriate for advanced analytics. Please be aware that the majority of the order flow executed by Wedbush Securities is not covered by NMS Rule 605 due to special handling requests by clients. The execution results from this order flow will not appear in the data and may differ substantially from the results.

Download NMS Rule 605 reports by [clicking here](#).

(By clicking this link, you will be leaving the Ace Diversified Capital, Inc website)

Securities and Exchange Commission Rule ("SEC") 606 requires broker dealers that route client orders in certain equity and option securities to make available to the public quarterly reports that represent a general overview of their routing practices. Upon written request, Our clearing firm Wedbush Securities will provide the market center location to which your specific equity and/or option order was routed for execution, and/or a copy of our website information.

The most recent quarterly report is available by [clicking here](#).

FINRA BrokerCheck Hotline

The Financial Industry Regulatory Authority, Inc. offers investors information and education through the FINRA BrokerCheck Hotline at 800-289-9999 or 800-289-9999 (FREE) and FINRA website at www.finra.org. Available is an investor brochure that includes information describing FINRA BrokerCheck.