RIM Securities has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available quarterly reports on their order routing practices. The report provides information on the routing of "non-directed orders" - any order that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, RIM Securities has selected the execution venue on behalf of its customers.

The report is divided into four sections: one for securities listed on the New York Stock Exchange, one for securities listed on the NASDAQ, one for securities listed on the American Stock Exchange or regional exchanges, and one for exchange-listed options. For each section, this report identifies the venues most often selected by RIM Securities, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects, if any, of RIM Securities’ relationship with the venues.

Securities Listed on the New York Stock Exchange

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.90%
- Limit orders as a percentage of total non-directed orders: 0.10%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

- PERSHING, LLC: 100%

Information Concerning Significant Venues:

- PERSHING, LLC

  Types of Orders Routed to Venue:

  - Market orders as percentage of total market orders: 100%
  - Limit orders as percentage of total limit orders: 100%
  - Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.61%
- Limit orders as a percentage of total non-directed orders: 0.39%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

- PERSHING, LLC: 100%

Information Concerning Significant Venues:

- PERSHING, LLC
  - Types of Orders Routed to Venue:
    - Market orders as percentage of total market orders: 100%
    - Limit orders as percentage of total limit orders: 100%
    - Other orders as percentage of total other orders: 0.00%

  - Material Aspects of Relationship with Venue:
    RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 45.95%
Limit orders as a percentage of total non-directed orders 54.05%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
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Securities Listed on the New York Stock Exchange

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.93%
- Limit orders as a percentage of total non-directed orders: 0.07%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

- PERSHING, LLC: 100%

Information Concerning Significant Venues:

- PERSHING, LLC
  - Types of Orders Routed to Venue:
    - Market orders as percentage of total market orders: 100%
    - Limit orders as percentage of total limit orders: 100%
    - Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing...
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.91%
- Limit orders as a percentage of total non-directed orders: 0.09%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC: 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders: 100%
- Limit orders as percentage of total limit orders: 100%
- Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders 100%
- Limit orders as percentage of total limit orders 0.00%
- Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

- Non-directed orders as a percentage of total customer orders 100%
- Market orders as a percentage of total non-directed orders 70.%
- Limit orders as a percentage of total non-directed orders 30%
- Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders 100%
- Limit orders as percentage of total limit orders 100%
- Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

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The report is divided into four sections: one for securities listed on the New York Stock Exchange, one for securities listed on the NASDAQ, one for securities listed on the American Stock Exchange or regional exchanges, and one for exchange-listed options. For each section, this report identifies the venues most often selected by CNR Securities, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects, if any, of CNR Securities’ relationship with the venues.

**Securities Listed on the New York Stock Exchange**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.97%
- Limit orders as a percentage of total non-directed orders: 0.03%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

- PERSHING, LLC: 100%

**Information Concerning Significant Venues:**

- **PERSHING, LLC**
  
  Types of Orders Routed to Venue:
  
  - Market orders as percentage of total market orders: 100%
  
  - Limit orders as percentage of total limit orders: 100%
  
  - Other orders as percentage of total other orders: 0.00%

**Material Aspects of Relationship with Venue:**

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing
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### Securities Listed on the NASDAQ Stock Market

#### Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.87%
- Limit orders as a percentage of total non-directed orders: 0.13%
- Other orders as a percentage of total non-directed orders: 0.00%

#### Venues Receiving Significant Percentage of Total Non-Directed Orders:

- PERSHING, LLC: 100%

#### Information Concerning Significant Venues:

- **PERSHING, LLC**
  
  - **Types of Orders Routed to Venue:**
    - Market orders as percentage of total market orders: 100%
    - Limit orders as percentage of total limit orders: 100%
    - Other orders as percentage of total other orders: 0.00%

  - **Material Aspects of Relationship with Venue:**

  CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

### Securities Listed on American Stock Exchange or Regional Stock Exchanges

#### Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 52.83%
Limit orders as a percentage of total non-directed orders 47.17%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
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Securities Listed on the New York Stock Exchange

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.97%
- Limit orders as a percentage of total non-directed orders: 0.03%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC: 100%

Information Concerning Significant Venues:

PERSHING, LLC

- Types of Orders Routed to Venue:
  - Market orders as percentage of total market orders: 100%
  - Limit orders as percentage of total limit orders: 100%
  - Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

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may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.39%
- Limit orders as a percentage of total non-directed orders: 0.61%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC: 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders: 100%
- Limit orders as percentage of total limit orders: 100%
- Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 11.43%
Limit orders as a percentage of total non-directed orders 88.57%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

CNR Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from CNR Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
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Securities Listed on the New York Stock Exchange

Summary Statistics:

Non-directed orders as a percentage of total customer orders: 100%
Market orders as a percentage of total non-directed orders: 99.96%
Limit orders as a percentage of total non-directed orders: 0.04%
Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC: 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders: 100%
Limit orders as percentage of total limit orders: 100%
Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
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**Securities Listed on the NASDAQ Stock Market**

**Summary Statistics:**

<table>
<thead>
<tr>
<th>Type of Order</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-directed orders as a percentage</td>
<td>100%</td>
</tr>
<tr>
<td>Market orders as a percentage of total non-directed orders</td>
<td>99.75%</td>
</tr>
<tr>
<td>Limit orders as a percentage of total non-directed orders</td>
<td>0.25%</td>
</tr>
<tr>
<td>Other orders as a percentage of total non-directed orders</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**
PERSHING, LLC 100%

**Information Concerning Significant Venues:**
PERSHING, LLC

**Types of Orders Routed to Venue:**

<table>
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<tr>
<th>Type of Order</th>
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</thead>
<tbody>
<tr>
<td>Market orders as percentage of total market orders</td>
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</tr>
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<td>Limit orders as percentage of total limit orders</td>
<td>100%</td>
</tr>
<tr>
<td>Other orders as percentage of total other orders</td>
<td>0.00%</td>
</tr>
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</table>

**Material Aspects of Relationship with Venue:**

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

**Securities Listed on American Stock Exchange or Regional Stock Exchanges**

**Summary Statistics:**

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Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

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Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 21.92%
Limit orders as a percentage of total non-directed orders 78.08%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
RIM Securities LLC
400 Park Avenue
New York, NY 10022
(212) 702-3500

SEC-Required Report on Routing of Customer Orders
for Quarter Ending December 31, 2018

RIM Securities has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available quarterly reports on their order routing practices. The report provides information on the routing of “non-directed orders” - any order that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, RIM Securities has selected the execution venue on behalf of its customers.

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Securities Listed on the New York Stock Exchange

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 99.98%
Limit orders as a percentage of total non-directed orders 0.02%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. PERSHING, LLC 99.98%
2. WELLS FARGO 0.02%

Information Concerning Significant Venues:

1. PERSHING, LLC

   Types of Orders Routed to Venue:
   - Market orders as percentage of total market orders 99.98%
   - Limit orders as percentage of total limit orders 100%
   - Other orders as percentage of total other orders 0.00%

2. WELLS FARGO

   Types of Orders Routed to Venue:
Market orders as percentage of total market orders 0.02%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

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<tr>
<td>Non-directed orders as a percentage of total customer orders</td>
<td>100%</td>
</tr>
<tr>
<td>Market orders as a percentage of total non-directed orders</td>
<td>99.88%</td>
</tr>
<tr>
<td>Limit orders as a percentage of total non-directed orders</td>
<td>0.12%</td>
</tr>
<tr>
<td>Other orders as a percentage of total non-directed orders</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100.00%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

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Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC: 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders: 100%
- Limit orders as percentage of total limit orders: 0.00%
- Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 40.00%
- Limit orders as a percentage of total non-directed orders: 60.00%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:
PERSHING, LLC

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

SEC-Required Report on Routing of Customer Orders
for Quarter Ending September 30, 2018

RIM Securities has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available quarterly reports on their order routing practices. The report provides information on the routing of "non-directed orders" - any order that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, RIM Securities has selected the execution venue on behalf of its customers.

The report is divided into four sections: one for securities listed on the New York Stock Exchange, one for securities listed on the NASDAQ, one for securities listed on the American Stock Exchange or regional exchanges, and one for exchange-listed options. For each section, this report identifies the venues most often selected by RIM Securities, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects, if any, of RIM Securities’ relationship with the venues.

**Securities Listed on the New York Stock Exchange**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.93%
- Limit orders as a percentage of total non-directed orders: 0.07%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

- PERSHING, LLC: 100%

**Information Concerning Significant Venues:**

**PERSHING, LLC**

- Types of Orders Routed to Venue:
  - Market orders as percentage of total market orders: 100%
  - Limit orders as percentage of total limit orders: 100%
  - Other orders as percentage of total other orders: 0.00%

**Material Aspects of Relationship with Venue:**

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

**Securities Listed on the NASDAQ Stock Market**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.40%
- Limit orders as a percentage of total non-directed orders: 0.60%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

PERSHING, LLC: 100%

**Information Concerning Significant Venues:**

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders: 100%
- Limit orders as percentage of total limit orders: 100%
- Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

**Securities Listed on American Stock Exchange or Regional Stock Exchanges**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 37.5%
Limit orders as a percentage of total non-directed orders 62.50%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
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Securities Listed on the New York Stock Exchange

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 99.97%
Limit orders as a percentage of total non-directed orders 0.03%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

**Securities Listed on the NASDAQ Stock Market**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.59%
- Limit orders as a percentage of total non-directed orders: 0.41%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

- PERSHING, LLC: 100%

**Information Concerning Significant Venues:**

- PERSHING, LLC
  - Types of Orders Routed to Venue:
    - Market orders as percentage of total market orders: 100%
    - Limit orders as percentage of total limit orders: 100%
    - Other orders as percentage of total other orders: 0.00%
  - Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

**Securities Listed on American Stock Exchange or Regional Stock Exchanges**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC  100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders  100%
Limit orders as percentage of total limit orders  0.00%
Other orders as percentage of total other orders  0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders  100%
Market orders as a percentage of total non-directed orders  6.52%
Limit orders as a percentage of total non-directed orders  93.48%
Other orders as a percentage of total non-directed orders  0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC  100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders  100%
Limit orders as percentage of total limit orders  100%
Other orders as percentage of total other orders  0.00%
Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
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**Securities Listed on the New York Stock Exchange**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders 100%
- Market orders as a percentage of total non-directed orders 99.94%
- Limit orders as a percentage of total non-directed orders 0.06%
- Other orders as a percentage of total non-directed orders 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

- PERSHING, LLC 100%

**Information Concerning Significant Venues:**

- PERSHING, LLC
  - Types of Orders Routed to Venue:
    - Market orders as percentage of total market orders 100%
    - Limit orders as percentage of total limit orders 100%
    - Other orders as percentage of total other orders 0.00%

**Material Aspects of Relationship with Venue:**

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.86%
- Limit orders as a percentage of total non-directed orders: 0.14%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC: 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders: 100%
- Limit orders as percentage of total limit orders: 100%
- Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders 100%
- Limit orders as percentage of total limit orders 0.00%
- Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

- Non-directed orders as a percentage of total customer orders 100%
- Market orders as a percentage of total non-directed orders 17.78%
- Limit orders as a percentage of total non-directed orders 82.22%
- Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders 100%
- Limit orders as percentage of total limit orders 100%
- Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

RIM Securities LLC
400 Park Avenue
New York, NY 10022
(212) 702-3500

SEC-Required Report on Routing of Customer Orders
for Quarter Ending December 31, 2017

RIM Securities has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available quarterly reports on their order routing practices. The report provides information on the routing of "non-directed orders" - any order that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, RIM Securities has selected the execution venue on behalf of its customers.

The report is divided into four sections: one for securities listed on the New York Stock Exchange, one for securities listed on the NASDAQ, one for securities listed on the American Stock Exchange or regional exchanges, and one for exchange-listed options. For each section, this report identifies the venues most often selected by RIM Securities, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects, if any, of RIM Securities' relationship with the venues.

Securities Listed on the New York Stock Exchange

Summary Statistics:

- Non-directed orders as a percentage of total customer orders 100%
- Market orders as a percentage of total non-directed orders 99.93%
- Limit orders as a percentage of total non-directed orders 0.07%
- Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. PERSHING, LLC 99.99%
2. WELLS FARGO 0.01%

Information Concerning Significant Venues:

1. PERSHING, LLC

   Types of Orders Routed to Venue:

   - Market orders as percentage of total market orders 99.99%
   - Limit orders as percentage of total limit orders 100%
   - Other orders as percentage of total other orders 0.00%

2. WELLS FARGO

   Types of Orders Routed to Venue:
Market orders as percentage of total market orders 0.01%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 99.18%
Limit orders as a percentage of total non-directed orders 0.82%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. PERSHING, LLC 99.87%
2. CITIBANK 0.06%
2. WELLS FARGO 0.06%

Information Concerning Significant Venues:

1. PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 99.87%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%

2. CITIGROUP

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 0.06%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%
2. WELLS FARGO

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 0.06%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 100%
Limit orders as a percentage of total non-directed orders 0.00%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 5.00%
Limit orders as a percentage of total non-directed orders 95.00%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.
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**Securities Listed on the New York Stock Exchange**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.91%
- Limit orders as a percentage of total non-directed orders: 0.09%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

1. PERSHING, LLC: 99.99%
2. CITIGROUP: 0.01%

**Information Concerning Significant Venues:**

1. PERSHING, LLC

   Types of Orders Routed to Venue:
   - Market orders as percentage of total market orders: 99.99%
   - Limit orders as percentage of total limit orders: 100%
   - Other orders as percentage of total other orders: 0.00%

2. CITIGROUP

   Types of Orders Routed to Venue:
Market orders as percentage of total market orders 0.01%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:

Non-directed orders as a percentage of total customer orders 100%
Market orders as a percentage of total non-directed orders 99.00%
Limit orders as a percentage of total non-directed orders 1.00%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

1. PERSHING, LLC 99.97%
2. WELLS FARGO 0.03%

Information Concerning Significant Venues:

1. PERSHING, LLC

   Types of Orders Routed to Venue:
   
   Market orders as percentage of total market orders 99.97%
   Limit orders as percentage of total limit orders 100%
   Other orders as percentage of total other orders 0.00%

2. WELLS FARGO

   Types of Orders Routed to Venue:

   Market orders as percentage of total market orders 0.03%
   Limit orders as percentage of total limit orders 0.00%
   Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

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**Securities Listed on American Stock Exchange or Regional Stock Exchanges**

**Summary Statistics:**

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-directed orders as a percentage of total customer orders</td>
<td>100%</td>
</tr>
<tr>
<td>Market orders as a percentage of total non-directed orders</td>
<td>100%</td>
</tr>
<tr>
<td>Limit orders as a percentage of total non-directed orders</td>
<td>0.00%</td>
</tr>
<tr>
<td>Other orders as a percentage of total non-directed orders</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

PERSHING, LLC 100%

**Information Concerning Significant Venues:**

PERSHING, LLC

Types of Orders Routed to Venue:

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Market orders as percentage of total market orders</td>
<td>100%</td>
</tr>
<tr>
<td>Limit orders as percentage of total limit orders</td>
<td>0.00%</td>
</tr>
<tr>
<td>Other orders as percentage of total other orders</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

Material Aspects of Relationship with Venue:

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**Exchange-Listed Options**

**Summary Statistics:**

<table>
<thead>
<tr>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-directed orders as a percentage of total customer orders</td>
<td>100%</td>
</tr>
<tr>
<td>Market orders as a percentage of total non-directed orders</td>
<td>4.26%</td>
</tr>
</tbody>
</table>
Limit orders as a percentage of total non-directed orders 95.74%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:
PERSHING, LLC 100%

Information Concerning Significant Venues:
PERSHING, LLC

Types of Orders Routed to Venue:
Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:
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SEC-Required Report on Routing of Customer Orders  
for Quarter Ending June 30, 2017

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**Securities Listed on the New York Stock Exchange**

**Summary Statistics:**

Non-directed orders as a percentage of total customer orders 100%

Market orders as a percentage of total non-directed orders 99.92%

Limit orders as a percentage of total non-directed orders 0.08%

Other orders as a percentage of total non-directed orders 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

1. PERSHING, LLC 99.91%
2. CITIGROUP 0.09%

**Information Concerning Significant Venues:**

1. PERSHING, LLC

   Types of Orders Routed to Venue:
   
   Market orders as percentage of total market orders 99.99%
   Limit orders as percentage of total limit orders 100%
   Other orders as percentage of total other orders 0.00%

2. CITIGROUP

   Types of Orders Routed to Venue:
Market orders as percentage of total market orders 0.01%
Limit orders as percentage of total limit orders 0.00%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:
RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on the NASDAQ Stock Market

Summary Statistics:
- Non-directed orders as a percentage of total customer orders 100%
- Market orders as a percentage of total non-directed orders 98.95%
- Limit orders as a percentage of total non-directed orders 1.05%
- Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:
1. PERSHING, LLC 99.91%
2. WELLS FARGO 0.09%

Information Concerning Significant Venues:
1. PERSHING, LLC
   Types of Orders Routed to Venue:
   - Market orders as percentage of total market orders 100%
   - Limit orders as percentage of total limit orders 91.89%
   - Other orders as percentage of total other orders 0.00%

2. WELLS FARGO
   Types of Orders Routed to Venue:
   - Market orders as percentage of total market orders 100%
   - Limit orders as percentage of total limit orders 8.11%
   - Other orders as percentage of total other orders 0.00%
Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Securities Listed on American Stock Exchange or Regional Stock Exchanges

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.73%
- Limit orders as a percentage of total non-directed orders: 0.27%
- Other orders as a percentage of total non-directed orders: 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:

PERSHING, LLC 100%

Information Concerning Significant Venues:

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders: 100%
- Limit orders as percentage of total limit orders: 100%
- Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

Exchange-Listed Options

Summary Statistics:

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 13.43%
Limit orders as a percentage of total non-directed orders 86.57%
Other orders as a percentage of total non-directed orders 0.00%

Venues Receiving Significant Percentage of Total Non-Directed Orders:
PERSHING, LLC 100%

Information Concerning Significant Venues:
PERSHING, LLC

Types of Orders Routed to Venue:
Market orders as percentage of total market orders 100%
Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:
RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.

RIM Securities has prepared this report pursuant to a U.S. Securities and Exchange Commission rule requiring all brokerage firms to make publicly available quarterly reports on their order routing practices. The report provides information on the routing of "non-directed orders" - any order that the customer has not specifically instructed to be routed to a particular venue for execution. For these non-directed orders, RIM Securities has selected the execution venue on behalf of its customers.

The report is divided into four sections: one for securities listed on the New York Stock Exchange, one for securities listed on the NASDAQ, one for securities listed on the American Stock Exchange or regional exchanges, and one for exchange-listed options. For each section, this report identifies the venues most often selected by RIM Securities, sets forth the percentage of various types of orders routed to the venues, and discusses the material aspects, if any, of RIM Securities’ relationship with the venues.

**Securities Listed on the New York Stock Exchange**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 99.77%
- Limit orders as a percentage of total non-directed orders: 0.23%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

1. PERSHING, LLC: 100%

**Information Concerning Significant Venues:**

1. PERSHING, LLC

   Types of Orders Routed to Venue:
   
   - Market orders as percentage of total market orders: 100%
   - Limit orders as percentage of total limit orders: 100%
   - Other orders as percentage of total other orders: 0.00%

**Material Aspects of Relationship with Venue:**

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing
may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

**Securities Listed on the NASDAQ Stock Market**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 98.08%
- Limit orders as a percentage of total non-directed orders: 1.92%
- Other orders as a percentage of total non-directed orders: 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

- PERSHING, LLC: 100%

**Information Concerning Significant Venues:**

1. PERSHING, LLC

   **Types of Orders Routed to Venue:**
   
   - Market orders as percentage of total market orders: 100%
   - Limit orders as percentage of total limit orders: 100%
   - Other orders as percentage of total other orders: 0.00%

   **Material Aspects of Relationship with Venue:**

   RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

**Securities Listed on American Stock Exchange or Regional Stock Exchanges**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders: 100%
- Market orders as a percentage of total non-directed orders: 100%
- Limit orders as a percentage of total non-directed orders: 0.00%
- Other orders as a percentage of total non-directed orders: 0.00%
**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

PERSHING, LLC 100%

**Information Concerning Significant Venues:**

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders 100%
- Limit orders as percentage of total limit orders 100%
- Other orders as percentage of total other orders 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and will route most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to [www.routingdisclosure.com](http://www.routingdisclosure.com) and typing in “Pershing LLC”.

**Exchange-Listed Options**

**Summary Statistics:**

- Non-directed orders as a percentage of total customer orders 100%
- Market orders as a percentage of total non-directed orders 2.30%
- Limit orders as a percentage of total non-directed orders 97.70%
- Other orders as a percentage of total non-directed orders 0.00%

**Venues Receiving Significant Percentage of Total Non-Directed Orders:**

PERSHING, LLC 100%

**Information Concerning Significant Venues:**

PERSHING, LLC

Types of Orders Routed to Venue:

- Market orders as percentage of total market orders 100%
- Limit orders as percentage of total limit orders 100%
Other orders as percentage of total other orders: 0.00%

Material Aspects of Relationship with Venue:

RIM Securities has a fully disclosed clearing relationship with Pershing and routes most orders to Pershing for execution. After receiving an order from RIM Securities, Pershing may, in turn, route the order to another venue. Information regarding Pershing’s order routing can be found by linking to www.routingdisclosure.com and typing in “Pershing LLC”.