



### **Disclosure of Order Routing Information**

In accordance with U.S. Securities and Exchange Commission (“SEC”) Rule 606, we are making available certain information about our routing practices for non-directed orders in U.S. exchange-listed equity securities and options subject to that rule. A non-directed order is any order that the customer has not specifically instructed be routed to a particular venue for execution. For non-directed orders in these securities, Advisors Asset Management, Inc. (“AAM”) has selected Pershing LLC (“Pershing”), a subsidiary of The Bank of New York Mellon Corporation, as its primary execution venue. Pershing may choose, at its sole discretion, to execute AAM orders or direct them to other brokerages for best execution. To view our latest quarterly report on order routing from Pershing, please go to the Pershing website below and enter our name exactly as it appears here: ADVISORS ASSET MANAGEMENT INC

<https://www.orderroutingdisclosure.com/>

In accordance with Rule 606 we will disclose to any customer upon request the identity of the venue to which the customer’s orders were routed for execution in the six months prior to the request, whether the orders were directed orders or non-directed orders, and the time of the transactions, if any, that resulted from such orders.

### **Disclosure of Payment for Order Flow Information**

In accordance with SEC Rule 607 we are making available information about our payment for order flow practices. AAM does not currently receive compensation for securities transactions subject to this rule that are executed by Pershing at designated exchanges, market makers, dealers, or market centers.