



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

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.

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.

All customer inquiries regarding order routing should be directed to:

Roth Capital Partners, LLC
Chief Compliance Officer
888 San Clemente
Newport Beach California 92660
(949)720-5700