

SEC Rule 606 Quarterly Report:

Empire Asset Management Company

Qtr Ended September 30, 2014

Percentages of Total Non-Directed Orders Route to Individual Route Venues:

| | |
|--|-------------|
| NYSE Euronext | 100% |
| Nasdaq Stock Market | 100% |
| NYSE Amex or Regional Exchanges | 100% |
| Exchange Listed Options | 100% |

100% of total customer orders were non-directed

Material Aspects of Relationship with Venues:

Empire Asset Management Company (“Empire”) directs 100% of its order flow to JP Morgan Clearing Corp. for all routing and execution. Empire receives NO payments for directing order flow to JP Morgan Clearing Corp. Empire regularly reviews reports for quality of execution.

Additional information on J.P. Morgan’s order routing practices, may be obtained at:
<http://www.jpmorgan.com/pages/am/securities/legal/orderrouting>