

MiFID II RTS 28 Report - Reception and Transmission of Orders Top 5 Brokers, Retail Clients
Argus Stockbrokers Ltd. - 2018

Class of Instrument	Equities – Shares & Depositary Receipts - Tick size liquidity bands 5 and 6				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	56.3%	100.0%	29.6%	70.4%	0.0%
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	42.8%	100.0%	88.4%	11.6%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	0.9%	100.0%	100.0%	0.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					

Class of Instrument	Equities – Shares & Depositary Receipts - Tick size liquidity bands 3 and 4				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	41.2%	100.0%	100.0%	0.0%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	34.6%	100.0%	4.8%	95.2%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	24.2%	100.0%	100.0%	0.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					

Class of Instrument	Equities – Shares & Depositary Receipts - Tick size liquidity band 1 and 2				
Notification if <1 average trade per business day in the previous year	Y				

Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	52.2%	100.0%	10.7%	89.3%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	27.0%	100.0%	0.0%	100.0%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	20.8%	100.0%	93.8%	6.2%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					

Class of Instrument	Exchange Traded products				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	80.5%	100.0%	94.7%	5.3%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	15.5%	100.0%	91.6%	8.4%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	4.0%	100.0%	8.6%	91.4%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					

Class of Instrument	Debt Instruments				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)		Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Vantage Capital Markets LLP - 2138007ZHUXSGBB53N72					
SHORE Capital Stockbrokers Ltd - 2138009KZO3MK7TV6372					
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					
Leonteq Securities AG - ML61HP3A4MKTTA1ZB671					
Hellenic Bank - CXUHEGU3MADZ2CEV7C11					

Class of Instrument	Contract for Differeneeces				
Notification if <1 average trade per business day in the previous year	N				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	73.4%	26.6%	0.0%

Class of Instrument	Currency derivatives - Futures and options admitted to trading on a trading venue				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09					

Class of Instrument	Equity Derivatives - Options and Futures admitted to trading on a trading venue				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	87.8%	12.2%	0.0%

Class of Instrument	Securitised Derivatives - Warrants and Certificate Derivatives				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09					

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Class of Instrument	Equities – Shares & Depositary Receipts - Tick size liquidity bands 5 and 6				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	50.5%	100.0%	88.4%	11.6%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	48.5%	100.0%	13.3%	86.7%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	1.0%	100.0%	100.0%	0.0%	0.0%

CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	0.0%				
Class of Instrument	Equities – Shares & Depositary Receipts - Tick size liquidity bands 3 and 4				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	65.4%	100.0%	100.0%	0.0%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	33.5%	100.0%	100.0%	0.0%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	1.0%	100.0%	0.0%	100.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					
Class of Instrument	Equities – Shares & Depositary Receipts - Tick size liquidity band 1 and 2				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	71.3%	100.0%	10.7%	89.3%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	24.8%	100.0%	93.8%	6.2%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	3.8%	100.0%	0.0%	100.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					

Class of Instrument	Exchange Traded products				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	78.2%	100.0%	94.7%	5.3%	0.0%
Linear Investments Limited - 213800GNOS9QQ31DCK54	15.1%	100.0%	91.6%	8.4%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	6.7%	100.0%	8.6%	91.4%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17					
Class of Instrument	Debt Instruments				

Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Vantage Capital Markets LLP - 2138007ZHUXSGBB53N72	68.15%	100.0%	100.0%	0.0%	0.0%
ATHLOS CAPITAL-254900KH6PO0O17YI150	26.87%	100.0%	100.0%	0.0%	0.0%
SHORE Capital Stockbrokers Ltd - 2138009KZO3MK7TV6372	4.98%	100.0%	100.0%	0.0%	0.0%

Class of Instrument	Currency derivatives - Futures and options admitted to trading on a trading venue				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	83.9%	100.0%	66.7%	33.3%	0.0%
R.J. O'Brien & Associates, LLC - WOPZ3KWZW5JSJMG3U094	16.1%	100.0%	100.0%	0.0%	0.0%

Class of Instrument	Contract for Differeneeces				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	39.2%	60.8%	0.0%

Class of Instrument	Equity Derivatives - Options and Futures admitted to trading on a trading venue				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	81.5%	100.0%	66.7%	33.3%	0.0%
R.J. O'Brien & Associates, LLC - WOPZ3KWZW5JSJMG3U094	18.5%	100.0%	93.4%	6.6%	0.0%

Class of Instrument	Commodities derivatives and emission allowances Derivatives				
Notification if <1 average trade per business day in the previous year	Y				

Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
R.J. O'Brien & Associates, LLC - WOPZ3KWZW5JSJMG3U094	95.4%	100.0%	93.4%	6.6%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	4.6%	100.0%	66.7%	33.3%	0.0%
Class of Instrument	Interest rates derivatives - Futures and options admitted to trading on a trading venue				
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders

