

## MiFID II RTS28 Report – Reception and Transmission of Orders Top 5 Brokers- Professional Clients

### Argus Stockbrokers Ltd -2020

Class of Instrument	Equities – Shares & Depository 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
Linear Investments Limited - 213800GNOS9QQ31DCK54	21.9%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	8.5%	100.0%	36.6%	0.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRFO3MTW17	45.3%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTV3A94CK4R75	8.4%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	13.2%	100.0%	77.2%	22.8%	0.0%
Class of Instrument	Equities – Shares & Depository Receipts - Tick size liquidity bands 3 and 4				
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
Linear Investments Limited - 213800GNOS9QQ31DCK54	37.5%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	0.0%	100.0%	41.2%	58.8%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRFO3MTW17	21.6%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTV3A94CK4R75	0.0%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	40.8%	100.0%	77.2%	22.8%	0.0%
Class of Instrument	Equities – Shares & Depository Receipts - Tick size liquidity band 1 and 2				
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
Linear Investments Limited - 213800GNOS9QQ31DCK54	13.5%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	48.2%	100.0%	0.0%	100.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRFO3MTW17	18.4%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTV3A94CK4R75	1.5%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	13.3%	200.0%	77.2%	22.8%	0.0%
Class of Instrument	Exchange Traded products				
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
Linear Investments Limited - 213800GNOS9QQ31DCK54	13.5%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	48.2%	100.0%	5.0%	95.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRFO3MTW17	18.4%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTV3A94CK4R75	1.5%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	13.3%	100.0%	77.2%	22.8%	0.0%

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
Athlos Capital Investment Services Ltd - 254900KH6P00017Y1150		53.49%	100.0%	100.0%	100.0%	100.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17		6.72%	100.0%	100.0%	100.0%	100.0%
ASTROBANK PUBLIC COMPANY LIMITED - 549300VB6UM9TUOCYW67		0.00%	100.0%	100.0%	100.0%	100.0%
EUROBANK CYPRUS LTD - 5493004KSNEM4U7L8714		39.79%	100.0%	100.0%	100.0%	100.0%
Class of Instrument		Contract for Differences				
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 - 549300TL54061C1XKD09		100.0%	100.0%	44.8%	55.2%	0.00%
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 - 549300TL54061C1XKD09		16.1%	100.0%	100.00%	0.0%	0.00%
R.J. O'Brien & Associates, LLC - WOPZ3KWZ5JSJMG3U094		83.9%	100.0%	100.00%	0.0%	0.00%
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 - 549300TL54061C1XKD09		1.0%	100.0%	19.3%	80.7%	0.00%
R.J. O'Brien & Associates, LLC - WOPZ3KWZ5JSJMG3U094		99.0%	100.0%	100.00%	0.0%	0.00%
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 - WOPZ3KWZ5JSJMG3U094		100.0%	100.0%	100.0%	0.0%	0.00%

## MiFID II RTS28 Report – Reception and Transmission of Orders Top 5 Brokers- Retail Clients

### Argus Stockbrokers Ltd -2020

Class of Instrument	Equities – Shares & Depository 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
Linear Investments Limited - 213800GNOS9QQ31DCK54	5.9%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	75.9%	100.0%	36.6%	63.4%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	7.9%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DVT3A94CK4R75	1.0%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	6.0%	100.0%	77.2%	22.8%	0.0%
Class of Instrument	Equities – Shares & Depository Receipts - Tick size liquidity bands 3 and 4				
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
Linear Investments Limited - 213800GNOS9QQ31DCK54	17.3%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	28.9%	100.0%	0.0%	100.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	23.2%	100.0%	63.5%	16.7%	19.8%
Canaccord Genuity LLC	17.7%	100.0%	77.2%	22.8%	0
EUROBANK CYPRUS LTD -5493004KSNEM4U7L8714	8.5%	100.0%	100.0%	100.0%	100.0%
Class of Instrument	Equities – Shares & Depository Receipts - Tick size liquidity band 1 and 2				
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
Linear Investments Limited - 213800GNOS9QQ31DCK54	9.7%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	60.2%	100.0%	47.8%	52.2%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	13.0%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DVT3A94CK4R75	1.7%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	9.9%	100.0%	77.2%	22.8%	0.0%
Class of Instrument	Exchange Traded products				
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
Linear Investments Limited - 213800GNOS9QQ31DCK54	9.7%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL54061C1XKD09	60.2%	100.0%	34.6%	65.4%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	13.0%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DVT3A94CK4R75	1.7%	100.0%	77.2%	22.8%	0.0%
Canaccord Genuity LLC	9.9%	100.0%	77.2%	22.8%	0.0%

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
Athlos Capital Investment Services Ltd - 254900KH6P00017Y1150		53.49%	100.0%	100.0%	100.0%	100.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17		6.72%	100.0%	100.0%	100.0%	100.0%
ASTROBANK PUBLIC COMPANY LIMITED - 549300VB6UM9TUOCYW67		0.00%	100.0%	100.0%	100.0%	100.0%
EUROBANK CYPRUS LTD - 5493004KSNEM4U7L8714		39.79%	100.0%	100.0%	100.0%	100.0%
Class of Instrument		Contract for Differences				
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 - 549300TL54061C1XKD09		100.0%	100.0%	43.9%	56.1%	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 - 549300TL54061C1XKD09		100.0%	100.0%	100.0%	0.0%	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 - 549300TL54061C1XKD09		100.0%	100.0%	77.6%	22.4%	0.0%
Class of Instrument		Securitized 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 - 549300TL54061C1XKD09						

