

WINTERFLOOD BUSINESS SERVICES MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020**MiFID II RTS 28 Report (Retail Client)**

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|---------------------------------------------------------------------------------|--------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------|---------------------------------|-------------------------------|
| Class of Instrument | Equities - Shares & Depositary Receipts (T12) | | | | |
| Notification if <1 average trade per business day in the previous year | No | | | | |
| Top five execution venues 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 |
| PEEL HUNT LLP 5493007DWN0R4YBM4C84 | 32.29 % | 27.15 % | 0.00 % | 0.00 % | 0.00 % |
| WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745 | 29.92 % | 38.00 % | 0.00 % | 0.00 % | 0.00 % |
| NPLUS1 SINGER CAPITAL MARKETS LIMITED 213800ITO7QMNQ9SFG53 | 9.30 % | 11.87 % | 0.00 % | 0.00 % | 0.00 % |
| NUMIS SECURITIES LIMITED 213800P3F4RT97WDSX47 | 7.51 % | 2.78 % | 0.00 % | 0.00 % | 0.00 % |
| Joh. Berenberg, Gossler & Co. KG 529900UC2OD7II24Z667 | 5.65 % | 1.51 % | 0.00 % | 0.00 % | 0.00 % |
| Interaction | Execution | | | | |
| Report provided by LiquidMetrix | | | | | |

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|---------------------------------------------------------------------------------|--------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------|---------------------------------|-------------------------------|
| Class of Instrument | Equities - Shares & Depositary Receipts (T34) | | | | |
| Notification if <1 average trade per business day in the previous year | No | | | | |
| Top five execution venues 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 |
| PEEL HUNT LLP 5493007DWN0R4YBM4C84 | 35.22 % | 42.19 % | 0.00 % | 0.00 % | 0.00 % |
| WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745 | 26.54 % | 35.39 % | 0.00 % | 0.00 % | 0.00 % |
| INVESTEC BANK PLC 84S0VF8TSMH0T6D4K848 | 16.05 % | 9.70 % | 0.00 % | 0.00 % | 0.00 % |
| NPLUS1 SINGER CAPITAL MARKETS LIMITED 213800ITO7QMNQ9SFG53 | 7.66 % | 3.40 % | 0.00 % | 0.00 % | 0.00 % |
| NUMIS SECURITIES LIMITED 213800P3F4RT97WDSX47 | 7.59 % | 1.51 % | 0.00 % | 0.00 % | 0.00 % |
| Interaction | Execution | | | | |
| Report provided by LiquidMetrix | | | | | |

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|---------------------------------------------------------------------------------|--------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------|---------------------------------|-------------------------------|
| Class of Instrument | Equities - Shares & Depositary Receipts (T56) | | | | |
| Notification if <1 average trade per business day in the previous year | No | | | | |
| Top five execution venues 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 |
| WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745 | 48.38 % | 49.57 % | 0.00 % | 0.00 % | 0.00 % |
| PEEL HUNT LLP 5493007DWN0R4YBM4C84 | 25.29 % | 26.39 % | 0.00 % | 0.00 % | 0.00 % |
| STIFEL NICOLAUS EUROPE LIMITED 213800BVEFNZ8UYPKL03 | 6.78 % | 0.62 % | 0.00 % | 0.00 % | 0.00 % |
| VIRTU FINANCIAL IRELAND LIMITED 549300XG5LFGN1IGYC71 | 6.55 % | 6.24 % | 0.00 % | 0.00 % | 0.00 % |
| COMMERZBANK Aktiengesellschaft 851WYGNLUQLFZBSYGB56 | 6.43 % | 1.80 % | 0.00 % | 0.00 % | 0.00 % |
| Interaction | Execution | | | | |
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|---------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------|---------------------------------|-------------------------------|
| Class of Instrument | Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities) | | | | |
| Notification if <1 average trade per business day in the previous year | No | | | | |
| Top five execution venues 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 |
| WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745 | 36.22 % | 41.05 % | 0.00 % | 0.00 % | 0.00 % |
| PEEL HUNT LLP 5493007DWN0R4YBM4C84 | 26.98 % | 38.32 % | 0.00 % | 0.00 % | 0.00 % |
| INVESTEC BANK PLC 84S0VF8TSMH0T6D4K848 | 14.44 % | 12.47 % | 0.00 % | 0.00 % | 0.00 % |
| COMMERZBANK Aktiengesellschaft 851WYGNLUQLFZBSYGB56 | 14.26 % | 6.46 % | 0.00 % | 0.00 % | 0.00 % |
| STIFEL NICOLAUS EUROPE LIMITED 213800BVEFNZ8UYPKL03 | 8.10 % | 1.70 % | 0.00 % | 0.00 % | 0.00 % |
| Interaction | Execution | | | | |
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|---------------------------------------------------------------------------------|--------------------------------------------------------------------|--------------------------------------------------------------------|------------------------------|---------------------------------|-------------------------------|
| Class of Instrument | Debt instruments, Bonds | | | | |
| Notification if <1 average trade per business day in the previous year | Yes | | | | |
| Top five execution venues 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 |
| WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745 | 96.76 % | 60.42 % | 0.00 % | 0.00 % | 0.00 % |
| PEEL HUNT LLP 5493007DWN0R4YBM4C84 | 2.65 % | 31.25 % | 0.00 % | 0.00 % | 0.00 % |
| CANACCORD GENUITY LIMITED ZBU7V5NIMN4ILRFC23 | 0.59 % | 8.33 % | 0.00 % | 0.00 % | 0.00 % |
| Interaction | Execution | | | | |
| Report provided by LiquidMetrix | | | | | |