

Class of Instrument		Equities - Shares & Depository Receipts Tick size liquidity bands 5 and 6 (from 2000 trades per day)			
Notification if <1 average trade per business day in the previous year (Y/N)		N			
Top five execution venues ranked in terms of trading volumes (descending order)	Proportion of Volume Traded as 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
UBS Securities LLC	15.1%	21.4%	0.0%	0.0%	0.0%
LEI: T6FIZBDPKLYJKFCRVK44					
Credit Suisse International	12.9%	12.5%	0.0%	0.0%	0.0%
LEI: E58DKGMJYYJLN8C3868					
Liquidnet, Inc	11.2%	35.8%	0.0%	0.0%	0.0%
LEI: 213800HKBBO1GCVRG79					
Morgan Stanley & Co. LLC	7.2%	6.8%	0.0%	0.0%	0.0%
LEI: 9R7GPTSO7KV3UQJZQ078					
JP Morgan Securities	7.2%	11.2%	0.0%	0.0%	0.0%
LEI: ZBUT11V806EZRVTWT807					

Definitions:

"Passive Order"	Means an order entered into the order book that provided liquidity
"Aggressive Order"	An order entered into the order book that took liquidity
"Directed Order"	An order where a specific execution venue was specified by the client prior to the execution of the order
"Volume Traded"	Investment Association: "By volume we understand the regulation to mean market value."
"Orders Executed"	A deal in a specific stock with a specific broker; number of orders

Class of Instrument		Equities - Shares & Depository Receipts Tick size liquidity bands 3 and 4 (from 80 to 1999 trades per day)			
Notification if <1 average trade per business day in the previous year (Y/N)		N			
Top five execution venues ranked in terms of trading volumes (descending order)	Proportion of Volume Traded as 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
Liquidnet, Inc	16.3%	44.4%	0.0%	0.0%	0.0%
LEI: 213800HSKBBO1GCVRG79					
Credit Suisse International	10.3%	8.5%	0.0%	0.0%	0.0%
LEI: E58DKGMJYYJLN8C3868					
UBS Securities LLC	7.7%	19.2%	0.0%	0.0%	0.0%
LEI: T6FIZBDPKLYJKFCRVK44					
BOFA Securities Inc.	6.4%	7.7%	0.0%	0.0%	0.0%
LEI: GGDZP1UYGU9STUHRDP48					
Carnegie Inc.	6.3%	8.7%	0.0%	0.0%	0.0%
LEI: 529900BR5NZNQZEVQ417					

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"Directed Order"	An order where a specific execution venue was specified by the client prior to the execution of the order
"Volume Traded"	Investment Association: "By volume we understand the regulation to mean market value."
"Orders Executed"	A deal in a specific stock with a specific broker; number of orders

Class of Instrument		Equities - Shares & Depository Receipts Tick size liquidity bands 1 and 2 (from 0 to 79 trades per day)			
Notification if <1 average trade per business day in the previous year (Y/N)		N			
Top five execution venues ranked in terms of trading volumes (descending order)	Proportion of Volume Traded as 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
Morgan Stanley & Co. LLC LEI: 9R7GPTSO7KV3UQJZQ078	23.2%	14.4%	0.0%	0.0%	0.0%
BOFA Securities Inc. LEI: GGDZP1UYGU9STUHRDP48	12.7%	19.6%	0.0%	0.0%	0.0%
UBS Securities LLC LEI: T6FIZBDPKLYJKFCRVK44	9.5%	14.0%	0.0%	0.0%	0.0%
Exane Inc LEI: 969500UP76J52A9OXU27	9.2%	3.8%	0.0%	0.0%	0.0%
Goldman Sachs International LEI: W22LROWP2IHZNBB6K528	7.6%	11.8%	0.0%	0.0%	0.0%

Definitions:

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"Directed Order"	An order where a specific execution venue was specified by the client prior to the execution of the order
"Volume Traded"	Investment Association: "By volume we understand the regulation to mean market value."
"Orders Executed"	A deal in a specific stock with a specific broker; number of orders

Class of Instrument		Securitized Derivatives			
Notification if <1 average trade per business day in the previous year (Y/N)		N			
Top five execution venues ranked in terms of trading volumes (descending order)	Proportion of Volume Traded as 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
JP Morgan Securities	85.9%	66.7%	0.0%	0.0%	0.0%
LEI: ZBUT11V806EZRVTWT807					
BTIG Limited	14.1%	33.3%	0.0%	0.0%	0.0%
LEI: 213800YZXS7U4QZP6441					

Definitions:

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- "Aggressive Order" An order entered into the order book that took liquidity
- "Directed Order" An order where a specific execution venue was specified by the client prior to the execution of the order
- "Volume Traded" Investment Association: "By volume we understand the regulation to mean market value."
- "Orders Executed" A deal in a specific stock with a specific broker; number of orders

Class of Instrument		Other			
Notification if <1 average trade per business day in the previous year (Y/N)		N			
Top five execution venues ranked in terms of trading volumes (descending order)	Proportion of Volume Traded as 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
Morgan Stanley & Co. LLC LEI: 9R7GPTS07KV3UQJZQ078	21.3%	23.1%	0.0%	0.0%	0.0%
JP Morgan Securities LEI: ZBUT11V806EZRVTWT807	16.3%	26.0%	0.0%	0.0%	0.0%
Redburn Partners LLC LEI: 213800TYRTQILMQQLV79	9.4%	3.0%	0.0%	0.0%	0.0%
BOFA Securities Inc. LEI: GGDZP1UYGU9STUHRDP48	9.0%	2.2%	0.0%	0.0%	0.0%
BTIG Limited LEI: 213800YZX57U4QZP6441	6.3%	7.9%	0.0%	0.0%	0.0%

Definitions:

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"Volume Traded"	Investment Association: "By volume we understand the regulation to mean market value."
"Orders Executed"	A deal in a specific stock with a specific broker; number of orders