

**Rossie House Investment Management MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020**

**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Equities - Shares & Depositary Receipts (T12)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	No				
<b>Top five execution venues ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
PEEL HUNT LLP 5493007DWN0R4YBM4C84	22.78 %	28.94 %	0.00%	100.00%	0.00 %
PANMURE GORDON (UK) LIMITED 213800GM8RB7MS4L3Z24	15.99 %	13.17 %	0.00%	100.00%	0.00 %
WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745	15.34 %	13.77 %	0.00%	100.00%	0.00 %
INVESTEC BANK PLC 84S0VF8TSMH0T6D4K848	12.11 %	11.38 %	0.00%	100.00%	0.00 %
NUMIS SECURITIES LIMITED 213800P3F4RT97WDSX47	10.95 %	8.78 %	0.00%	100.00%	0.00 %
<b>Interaction</b>	Execution				
Report provided by LiquidMetrix					

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**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five execution venues ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745	47.21 %	40.00 %	0.00 %	100.00%	0.00 %
PEEL HUNT LLP 5493007DWN0R4YBM4C84	35.33 %	20.00 %	0.00 %	100.00%	0.00 %
Flow Traders B.V. 549300CLJI9XDH12XV51	17.46 %	40.00 %	0.00 %	100.00%	0.00 %
<b>Interaction</b>	Execution				
Report provided by LiquidMetrix					

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<b>Class of Instrument</b>	Equities - Shares & Depositary Receipts (T34)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	No				
<b>Top five execution venues ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
PEEL HUNT LLP 5493007DWN0R4YBM4C84	24.57 %	32.88 %	0.00 %	100.00%	0.00 %
NUMIS SECURITIES LIMITED 213800P3F4RT97WDSX47	18.08 %	11.64 %	0.00 %	100.00%	0.00 %
INVESTEC BANK PLC 84S0VF8TSMH0T6D4K848	16.43 %	10.27 %	0.00 %	100.00%	0.00 %
WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745	11.42 %	17.47 %	0.00 %	100.00%	0.00 %
PANMURE GORDON (UK) LIMITED 213800GM8RB7MS4L3Z24	7.28 %	5.82 %	0.00 %	100.00%	0.00 %
<b>Interaction</b>	Execution				
Report provided by LiquidMetrix					

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**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Equities - Shares & Depositary Receipts (T56)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five execution venues ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
PEEL HUNT LLP 5493007DWN0R4YBM4C84	32.68 %	35.49 %	0.00 %	100.00%	0.00 %
VIRTU FINANCIAL IRELAND LIMITED 54930 OXG5LFGN1IGYC71	26.91 %	22.58 %	0.00 %	100.00%	0.00 %
LCH LIMITED F226TOH6YD6XJB17KS62	22.50 %	12.90 %	0.00 %	50.00 %	0.00 %
INVESTEC BANK PLC 84S0VF8TSMH0T6D4K848	13.78 %	12.90 %	0.00 %	100.00%	0.00 %
WINTERFLOOD SECURITIES LIMITED 8BRUP6 V1DX3PIG2R0745	2.60 %	9.68 %	0.00 %	100.00%	0.00 %
<b>Interaction</b>	Execution				
Report provided by LiquidMetrix					

**Rossie House Investment Management MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020**

**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Debt instruments, Bonds				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five execution venues ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
PEEL HUNT LLP 5493007DWN0R4YBM4C84	65.28 %	66.67 %	0.00 %	100.00%	0.00 %
WINTERFLOOD SECURITIES LIMITED 8BRUP6V1DX3PIG2R0745	34.72 %	33.33 %	0.00 %	100.00%	0.00 %
<b>Interaction</b>	Execution				
Report provided by LiquidMetrix					

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**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Equities - Shares & Depositary Receipts (T56)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five investment firms ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
UBS Switzerland AG 549300WOIFUSNYH0FL22	85.65 %	42.86 %	0.00 %	66.67 %	0.00 %
FIS BROKERAGE & SECURITIES SERVICES LLC 5493000KYOOCHOUH1K62	14.35 %	57.14 %	0.00 %	100.00 %	0.00 %
<b>Interaction</b>	Placement/transmission				
Report provided by LiquidMetrix					

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**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Equities - Shares & Depositary Receipts (T34)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five investment firms ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
UBS Switzerland AG 549300WOIFUSNYH0FL22	84.79 %	80.00 %	25.00 %	50.00 %	0.00 %
FIS BROKERAGE & SECURITIES SERVICES LLC 5493000KYOOCHOUH1K62	15.21 %	20.00 %	0.00 %	0.00 %	0.00 %
<b>Interaction</b>	Placement/transmission				
Report provided by LiquidMetrix					

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**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Equities - Shares & Depositary Receipts (T12)				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five investment firms ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
UBS Switzerland AG 549300WOIFUSNYH0FL22	100.00 %	100.00 %	0.00 %	0.00 %	0.00 %
<b>Interaction</b>	Placement/transmission				
Report provided by LiquidMetrix					



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**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Other instruments				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five investment firms ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
UBS Switzerland AG 549300WOIFUSNYH0FL22	100.00 %	100.00 %	0.00 %	0.00 %	0.00 %
<b>Interaction</b>	Placement/transmission				
Report provided by LiquidMetrix					

**Rossie House Investment Management MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020**

**MiFID II RTS 28 Report (Retail Client)**

<b>Class of Instrument</b>	Securitized Derivatives, Warrants and Certificate Derivatives				
<b>Notification if &lt;1 average trade per business day in the previous year</b>	Yes				
<b>Top five investment firms ranked in terms of trading volumes (descending order)</b>	<b>Proportion of volume traded as a percentage of total in that class</b>	<b>Proportion of orders executed as percentage of total in that class</b>	<b>Percentage of passive orders</b>	<b>Percentage of aggressive orders</b>	<b>Percentage of directed orders</b>
UBS Switzerland AG 549300WOIFUSNYH0FL22	100.00 %	100.00 %	0.00 %	0.00 %	0.00 %
<b>Interaction</b>	Placement/transmission				
Report provided by LiquidMetrix					