

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Equities - Shares & Depositary Receipts (T12)				
Notification if <1 average trade per business day in the previous year	No				
Top five investment firms 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
CREDIT SUISSE SECURITIES (EUROPE) LIMITED DL6FFRRLF74S01HE2M14	51.79 %	51.01 %	11.48 %	8.89 %	0.00 %
GOLDMAN SACHS INTERNATIONAL W22LROWP2IHZNBB6K528	10.88 %	7.03 %	0.73 %	0.00 %	0.00 %
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED 8NAV47T0Y26Q87Y0QP81	9.15 %	6.67 %	0.00 %	0.00 %	0.00 %
VIRTU ITG EUROPE LIMITED 213800EEC95PRUCEUP63	8.10 %	7.16 %	0.24 %	0.00 %	0.00 %
INSTINET EUROPE LIMITED 213800MXAKR2LA1VBM44	6.44 %	6.02 %	0.28 %	0.28 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Equities - Shares & Depositary Receipts (T34)				
Notification if <1 average trade per business day in the previous year	No				
Top five investment firms 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
CREDIT SUISSE SECURITIES (EUROPE) LIMITED DL6FFRRLF74S01HE2M14	31.95 %	27.39 %	11.13 %	9.67 %	0.00 %
VIRTU ITG EUROPE LIMITED 213800EEC95PRUCEUP63	16.50 %	13.10 %	0.00 %	0.00 %	0.00 %
GOLDMAN SACHS INTERNATIONAL W22LROWP2IHZNBB6K528	10.23 %	9.81 %	0.85 %	0.26 %	0.00 %
EXANE DERIVATIVES 2FL5XIC1B8Q6HNGN6A35	8.70 %	6.97 %	2.41 %	2.41 %	0.00 %
MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED 8NAV47TOY26Q87Y0QP81	8.52 %	8.08 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Equities - Shares & Depositary Receipts (T56)				
Notification if <1 average trade per business day in the previous year	No				
Top five investment firms 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
CITADEL SECURITIES LLC 12UUJYTN7D3SW8 KCSG25	21.22 %	21.64 %	0.00 %	0.00 %	0.00 %
VIRTU ITG EUROPE LIMITED 213800EEC95P RUCEUP63	17.80 %	12.08 %	0.00 %	0.00 %	0.00 %
CREDIT SUISSE SECURITIES (EUROPE) LIMITED DL6FFRRLF74S01HE2M14	17.46 %	23.39 %	7.30 %	9.33 %	0.00 %
INSTINET EUROPE LIMITED 213800MXAKR2LA1VBM44	10.86 %	14.28 %	8.84 %	8.17 %	0.00 %
GOLDMAN SACHS INTERNATIONAL W22LROWP2 IHZNBB6K528	10.03 %	7.59 %	0.19 %	0.32 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

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 investment firms 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
Flow Traders B.V. 549300CLJI9XDH12XV51	30.20 %	15.55 %	0.00 %	0.00 %	0.00 %
JANE STREET FINANCIAL LIMITED 549300ZHEHX8M31RP142	23.11 %	14.38 %	0.00 %	0.00 %	0.00 %
Optiver V.O.F. 7245009KRY SAYB2QCC29	8.31 %	6.85 %	0.00 %	0.00 %	0.00 %
MORGAN STANLEY SECURITIES LIMITED VLR6T6E60GH5GUS0XX16	7.18 %	7.46 %	0.00 %	0.00 %	0.00 %
SUSQUEHANNA IRELAND LIMITED JE75XDS7HR68LR10V064	6.26 %	3.76 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Debt instruments, Bonds				
Notification if <1 average trade per business day in the previous year	Yes				
Top five investment firms 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
RAIFCHF5_9714	99.86 %	33.33 %	0.00 %	0.00 %	0.00 %
CREDIT SUISSE SECURITIES (EUROPE) LIMITED DL6FFRRLF74S01HE2M14	0.14 %	66.67 %	100.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Structured finance instruments				
Notification if <1 average trade per business day in the previous year	Yes				
Top five investment firms 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
Flow Traders B.V. 549300CLJI9XDH12XV51	35.40 %	20.94 %	0.00 %	0.00 %	0.00 %
LEOCHF1_9720	21.13 %	4.27 %	0.00 %	0.00 %	0.00 %
JANE STREET FINANCIAL LIMITED 549300ZHEHX8M31RP142	16.99 %	6.41 %	0.00 %	0.00 %	0.00 %
Optiver V.O.F. 7245009KRY SAYB2QCC29	9.82 %	15.38 %	0.00 %	0.00 %	0.00 %
MORGAN STANLEY SECURITIES LIMITED VLR6T6E60GH5GUS0XX16	9.44 %	4.70 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Other instruments				
Notification if <1 average trade per business day in the previous year	Yes				
Top five investment firms 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
CITADEL SECURITIES LLC 12UUJYTN7D3SW8KCSG25	63.26 %	46.27 %	0.00 %	0.00 %	0.00 %
CREDIT SUISSE SECURITIES (EUROPE) LIMITED DL6FFRRLF74S01HE2M14	13.56 %	9.45 %	0.00 %	31.58 %	0.00 %
BNP PARIBAS R0MUWSFPU8MPRO8K5P83	10.82 %	21.89 %	0.00 %	0.00 %	0.00 %
INSTINET EUROPE LIMITED 213800MXAKR2LA1VBM44	4.79 %	9.95 %	20.00 %	30.00 %	0.00 %
JANE STREET FINANCIAL LIMITED 549300ZHEHX8M31RP142	2.86 %	1.49 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Securitized Derivatives, Warrants and Certificate Derivatives				
Notification if <1 average trade per business day in the previous year	Yes				
Top five investment firms 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
CREDIT SUISSE SECURITIES (EUROPE) LIMITED DL6FFRRLF74S01HE2M14	76.62 %	25.00 %	0.00 %	0.00 %	0.00 %
CITADEL SECURITIES LLC 12UUJYTN7D3SW8KCSG25	15.83 %	16.67 %	0.00 %	0.00 %	0.00 %
VIRTU ITG EUROPE LIMITED 213800EEC95PRUCEUP63	6.93 %	25.00 %	0.00 %	0.00 %	0.00 %
INSTINET EUROPE LIMITED 213800MXAKR2LA1VBM44	0.50 %	16.67 %	100.00 %	0.00 %	0.00 %
GOLDMAN SACHS INTERNATIONAL W22LROWP2IHZNBB6K528	0.07 %	8.33 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Mirabaud Securities MiFID II RTS 28 Reporting for 01/01/2020 to 31/12/2020

MiFID II RTS 28 Report (Professional Client)

Class of Instrument	Securitized Derivatives, Other securitized derivatives				
Notification if <1 average trade per business day in the previous year	Yes				
Top five investment firms 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
REN4	100.00 %	100.00 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					