

MiFID II RTS 28 Report - Reception and Transmission of Orders Top 5 Brokers, Professional Clients Argus Stockbrokers Ltd. - 2019

Class of Instrument	Equities – Shares & Depositary 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	36.8%	100.0%	83.3%	16.7%	0.0%	
Saxo Bank A/S - 549300TL5406IC1XKD09	10.4%	100.0%	18.8%	81.3%	0.0%	
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRF03MTW17	23.6%	100.0%	63.5%	16.7%	19.8%	
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	29.2%	100.0%	77.2%	22.8%	0.0%	
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50	0.0%	100.0%	77.2%	22.8%	0.0%	
Class of Instrument	Equities – Shares & Depositary 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	54.9%	100.0%	83.3%	16.7%	0.0%	
Saxo Bank A/S - 549300TL5406IC1XKD09	24.5%	100.0%	0.0%	100.0%	0.0%	
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRF03MTW17	7.2%	100.0%	63.5%	16.7%	19.8%	
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	13.4%	100.0%	77.2%	22.8%	0.0%	
Class of Instrument	Equities – Shares & Depositary Rece	ipts - Tick size liquidity band 1 and 2				
	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	29.9%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	23.8%	100.0%	18.8%	81.3%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	9.7%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	36.3%	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	•	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Linear Investments Limited - 213800GNOS9QQ31DCK54	1.9%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	0.4%	100.0%	0.0%	100.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	61.5%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	32.8%	100.0%	77.2%	22.8%	0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50	0.0%	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	Υ				
Top five execution brokers ranked in terms of trading volumes (descending order)	Proportion of volume traded as a percentage of total in that class	•	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Athlos Capital Investment Services Ltd - 254900KH6PO0O17YI150	90.45%	100.0%	100.0%	100.0%	100.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRF03MTW17	3.52%	100.0%	100.0%	100.0%	100.0%
ASTROBANK PUBLIC COMPANY LIMITED - 549300VB6UM9TUOCYW67	4.46%	100.0%	100.0%	100.0%	100.0%
EUROBANK CYPRUS LTD -5493004KSNEM4U7L8714	1.56%	100.0%	100.0%	100.0%	100.0%

Class of Instrument	Contract for Differreneces					
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 directed orders	
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	30.9%	69.1%	0.0	

Class of Instrument	Currency derivatives - Futures and	options admitted to trading on a tradi	ng 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 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 - 549300TL5406IC1XKD09	88.1%	100.0%	19.33%	80.67%	0.00%
R.J. O'Brien & Associates, LLC - WOPZ3KWZW5JSJMG3U094	11.9%	100.0%	100.00%	0.00%	0.00%
Class of Instrument	Equity Derivatives - Options and Fu	tures admitted to trading on a trading	venue		
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers	Proportion of volume traded as a	Proportion of orders executed as	Percentage of	Percentage of	Percentage of
ranked in terms of trading	percentage of total in that class	percentage of total in that class	passive orders	aggressive orders	directed orders
volumes (descending order)					
Saxo Bank A/S - 549300TL5406IC1XKD09	74.2%	100.0%	19.3%	80.7%	0.00%
R.J. O'Brien & Associates, LLC - WOPZ3KWZW5JSJMG3U094	25.8%	100.0%	100.00%	0.00%	0.00%
	_				
Class of Instrument	Commodities derivatives and emiss	sion allowances Derivatives			
Notification if <1 average trade per business day in the previous year	Y				
Top five execution brokers	Proportion of volume traded as a	Proportion of orders executed as	Percentage of	Percentage of	Percentage of
ranked in terms of trading	percentage of total in that class	percentage of total in that class	passive orders	aggressive orders	directed orders
volumes (descending order)					
R.J. O'Brien & Associates, LLC - WOPZ3KWZW5JSJMG3U094	100.0%	100.0%	100.0%	0.0%	0.00%

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Class of Instrument	Equities – Shares & Depositary 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	22.9%	100.0%	83.3%	16.7%	0.0%	

Saxo Bank A/S - 549300TL5406IC1XKD09	40.0%	100.0%	58.0%	42.0%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRF03MTW17	29.0%	100.0%	63.5%	16.7%	19.8%
LEK Securities UK Ltd - 213800DTVT3A94CK4R75	6.0%	100.0%	77.2%	22.8%	0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50	2.2%	100.0%	77.2%	22.8%	0.0%
Class of Instrument	Equities – Shares & Depositary Rece	eipts - 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	4.6%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	94.8%	100.0%	68.4%	31.6%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRF03MTW17	0.6%	100.0%	63.5%	16.7%	19.8%
Class of Instrument	Equities – Shares & Depositary Rece	 Pipts - 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	5.0%	100.0%	83.3%	16.7%	0.0%
Saxo Bank A/S - 549300TL5406IC1XKD09	24.9%	100.0%	72.7%	27.3%	0.0%
CASTLE HARBOUR SECURITIES LLP - 25490004T4PRF03MTW17	44.6%	100.0%	C2 F0/		
LEK Securities UK Ltd - 213800DTVT3A94CK4R75			63.5%	16.7%	19.8%
LEEN SCOUNTIES ON EIG - ZISOUDD I VISASACNAN/S	23.1%	100.0%	77.2%	16.7% 22.8%	19.8%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50	23.1% 1.7%				
		100.0%	77.2%	22.8%	0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50	1.7%	100.0%	77.2%	22.8%	0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50 Class of Instrument	1.7% Exchange Traded products	100.0% 100.0% Proportion of orders executed as	77.2%	22.8%	0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50 Class of Instrument Notification if <1 average trade per business day in the previous year Top five execution brokers ranked in terms of trading	1.7% Exchange Traded products N Proportion of volume traded as a	100.0% 100.0% Proportion of orders executed as	77.2% 77.2% Percentage of	22.8% 22.8% Percentage of	0.0% 0.0% Percentage of
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50 Class of Instrument Notification if <1 average trade per business day in the previous year Top five execution brokers ranked in terms of trading volumes (descending order)	1.7% Exchange Traded products N Proportion of volume traded as a percentage of total in that class	100.0% 100.0% Proportion of orders executed as percentage of total in that class	77.2% 77.2% Percentage of passive orders	22.8% 22.8% Percentage of aggressive orders	0.0% 0.0% Percentage of directed orders
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50 Class of Instrument Notification if <1 average trade per business day in the previous year Top five execution brokers ranked in terms of trading volumes (descending order) Linear Investments Limited - 213800GNOS9QQ31DCK54	1.7% Exchange Traded products N Proportion of volume traded as a percentage of total in that class	100.0% 100.0% Proportion of orders executed as percentage of total in that class 100.0%	77.2% 77.2% Percentage of passive orders 83.3%	22.8% 22.8% Percentage of aggressive orders 16.7%	0.0% 0.0% Percentage of directed orders 0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50 Class of Instrument Notification if <1 average trade per business day in the previous year Top five execution brokers ranked in terms of trading volumes (descending order) Linear Investments Limited - 213800GNOS9QQ31DCK54 Saxo Bank A/S - 549300TL5406IC1XKD09	1.7% Exchange Traded products N Proportion of volume traded as a percentage of total in that class 14.8% 34.9%	100.0% 100.0% Proportion of orders executed as percentage of total in that class 100.0% 100.0%	77.2% 77.2% Percentage of passive orders 83.3% 45.0%	22.8% 22.8% Percentage of aggressive orders 16.7% 55.0%	0.0% 0.0% Percentage of directed orders 0.0% 0.0%
AK JENSEN LIMITED - 213800QH7IE3JRN3CF50 Class of Instrument Notification if <1 average trade per business day in the previous year Top five execution brokers ranked in terms of trading volumes (descending order) Linear Investments Limited - 213800GNOS9QQ31DCK54 Saxo Bank A/S - 549300TL5406IC1XKD09 CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	1.7% Exchange Traded products N Proportion of volume traded as a percentage of total in that class 14.8% 34.9% 22.2%	100.0% 100.0% Proportion of orders executed as percentage of total in that class 100.0% 100.0% 100.0%	77.2% 77.2% Percentage of passive orders 83.3% 45.0% 63.5%	22.8% 22.8% Percentage of aggressive orders 16.7% 55.0% 16.7%	0.0% 0.0% Percentage of directed orders 0.0% 0.0% 19.8%

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 - 254900KH6PO0O17YI150	90.45%	100.0%	100.0%	100.0%	100.0%	
CASTLE HARBOUR SECURITIES LLP - 254900O4T4PRFO3MTW17	3.52%	100.0%	100.0%	100.0%	100.0%	
ASTROBANK PUBLIC COMPANY LIMITED - 549300VB6UM9TUOCYW67	4.46%	100.0%	100.0%	100.0%	100.0%	
EUROBANK CYPRUS LTD -5493004KSNEM4U7L8714	1.56%	100.0%	100.0%	100.0%	100.0%	

Class of Instrument	Contract for Differreneces				
Notification if <1 average trade per business day in the previous year	Υ				
Top five execution brokers	Proportion of volume traded as a	·	Percentage of	Percentage of	Percentage of
ranked in terms of trading	percentage of total in that class	percentage of total in that class	passive orders	aggressive orders	directed orders
volumes (descending order)					
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	40.0%	60.0%	0.0%
Class of Instrument	Currency derivatives - Futures and o	ptions admitted to trading on a tradir	ng venue		
Notification if <1 average trade per business day in the previous year	Υ				
Top five execution brokers	Proportion of volume traded as a	Proportion of orders executed as	Percentage of	Percentage of	Percentage of
ranked in terms of trading	percentage of total in that class	percentage of total in that class	passive orders	aggressive orders	directed orders
volumes (descending order)					
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	50.14%	49.86%	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	•		_	Percentage of directed orders
Saxo Bank A/S - 549300TL5406IC1XKD09	100.0%	100.0%	77.6%	22.4%	0.0%

Class of Instrument	Securitised Derivatives - Warrants and Certificate Derivatives
Notification if <1 average trade per business day in the previous year	Y

Top five execution brokers	Proportion of volume traded as a	Proportion of orders executed as	Percentage of	Percentage of	Percentage of
ranked in terms of trading	percentage of total in that class	percentage of total in that class	passive orders	aggressive orders	directed orders
volumes (descending order)					