

Vergent Asset Management 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
Financial Brokerage Group 558600U9YMG SR4KAHP73	45.76 %	56.19 %	0.00 %	0.00 %	0.00 %
HSBC BANK PLC MP6I5ZYZBEU3UXPYFY54	20.60 %	7.62 %	0.00 %	0.00 %	0.00 %
J.P. MORGAN SECURITIES PLC K6Q0W1PS1L 1O4IQL9C32	16.10 %	10.48 %	75.71 %	24.29 %	0.00 %
VER-CSEQ01	11.01 %	15.24 %	0.00 %	0.00 %	0.00 %
VER-ARQE01	4.87 %	1.90 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

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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	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
RENAISSANCE CAPITAL LIMITED 213800RZ3GCUXMBGYN59	29.91 %	28.00 %	3.97 %	80.87 %	0.00 %
REGIS PARTNERS, INC. 254900HRLJFNOZBOK921	22.54 %	18.00 %	0.00 %	0.00 %	0.00 %
VER-CLSAEQ01	22.38 %	31.00 %	39.96 %	16.22 %	0.00 %
Viet Capital Securities Joint Stock Company (VCSC) 254900HKR2EAQLPDRS52	11.58 %	16.00 %	0.00 %	0.00 %	0.00 %
VER-CSEQ01	6.21 %	2.00 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

Vergent Asset Management 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	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
Financial Brokerage Group 558600U9YMG SR4KAHP73	56.79 %	44.98 %	0.00 %	0.00 %	0.00 %
EXOTIX PARTNERS LLP 2138002GNKN2GGDA1W76	12.25 %	14.86 %	0.65 %	1.94 %	0.00 %
RENAISSANCE CAPITAL LIMITED 213800RZ3 GCUXMBGYN59	10.77 %	10.85 %	1.72 %	33.33 %	0.00 %
REGIS PARTNERS, INC. 254900HRLJFNOZBOK921	6.01 %	7.23 %	0.00 %	0.00 %	0.00 %
VER-UNLUEQ01	4.75 %	5.62 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

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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
HSBC BANK PLC MP6I5ZYZBEU3UXPYFY54	100.00 %	100.00 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					

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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
HSBC BANK PLC MP6I5ZYZBEU3UXPYFY54	100.00 %	100.00 %	0.00 %	0.00 %	0.00 %
Interaction	Placement/transmission				
Report provided by LiquidMetrix					