

RTS 28 – EXECUTION VENUE REPORT

There are 13 categories of financial instruments listed in the regulations, of which Vinco Wealth Management Limited transacted in 4 categories during this reporting period. For the avoidance of doubt, the full list of instrument categories is below. Any categories for which volume data is not included in the subsequent table, were not used by Vinco during the reporting period.

Full List of Financial Instruments covered by execution activity reporting requirements

Equities - Shares and Depositary Receipts	Securitized Derivatives
Debt instruments	Commodities Derivatives
Interest Rate Derivatives	Contracts for Difference
Currency Derivatives	Exchange Traded Products
Structured Finance Instruments	Emission Allowances
Equity Derivatives	Other instruments
Credit Derivatives	

Execution Venues Used

The tables below detail which execution venues were used by Vinco Wealth Management Limited during the period 01/07/2017 - 30/06/2018 inclusive. As required by regulations, this information is split by financial instrument and displays the distribution of volume and orders to each venue for each instrument transacted in the period.

Class of Instrument	Equities - Shares & Depositary Receipts				
Notification if < 1 average trade per day in the previous year	N				
Top 5 execution venues ranked in terms of trading volumes (descending order)					
Name and Venue Identifier (MIC or LEI)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Capital Markets UK Ltd (2138002TJAEVDAI8BF78)	100%	100%	N/A	N/A	N/A

Class of Instrument	Debt Instruments				
Notification if < 1 average trade per day in the previous year	Y				
Top 5 execution venues ranked in terms of trading volumes (descending order)					
Name and Venue Identifier (MIC or LEI)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Capital Markets UK Ltd (2138002TJAEVDAI8BF78)	100%	100%	N/A	N/A	N/A

Class of Instrument	Exchange Traded Products				
Notification if < 1 average trade per day in the previous year	N				
Top 5 execution venues ranked in terms of trading volumes (descending order)					
Name and Venue Identifier (MIC or LEI)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Capital Markets UK Ltd (2138002TJAEVDAI8BF78)	100%	100%	N/A	N/A	N/A

Class of Instrument	Contracts For Differences				
Notification if < 1 average trade per day in the previous year	N				
Top 5 execution venues ranked in terms of trading volumes (descending order)					
Name and Venue Identifier (MIC or LEI)	Proportion of volume traded as a percentage of total in that class	Proportion of orders executed as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Saxo Capital Markets UK Ltd (2138002TJAEVDAI8BF78)	31.2%	21.2%	N/A	N/A	N/A
Gain Capital UK Ltd (549300NKG8WR6UWSZS80)	68.8%	78.8%	N/A	N/A	N/A

Notes to 2018 Publication of Execution Activity Data

ESMA has recognised that for the first set of reports, investment firms may not be able to fully report on information which is not available or applicable in relation to the preceding year e.g. where it is tied to new provisions stemming from MiFID II or MiFIR.

As a practical matter, this means that the first year's report lacks some of the detail that is planned to be available for subsequent reports. This means that for this first publication we have been unable to provide some granularity on each of the Execution Venues such as the exact proportion of Passive and Aggressive Orders, the proportion of Directed Orders or be able to split the report by Client Classification (Retail and Professional).