

MiFID Top 5 Venues between 01/01/2019 and 31/12/2019

Company	Schroders Wealth Management (US) Limited
Execution partner type	Broker
MiFID client category	Retail
Class of instrument	Debt instruments - Bonds
Notification if <1 average trade per business day in the previous year	N

Top five execution venues 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
Oppenheimer Europe Ltd 213800CH6IZ9J98PIS59	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2019 and 31/12/2019

Company	Schroders Wealth Management (US) Limited
Execution partner type	Broker
MiFID Client category	Retail
Class of instrument	Equities – Shares & Depositary Receipts
Notification if <1 average trade per business day in the previous year	N

Top five execution venues 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
RBC Capital Markets Corporation 549300LCO2FLSSVFFR64	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2019 and 31/12/2019

Company	Schroders Wealth Management (US) Limited
Execution partner type	Broker
MiFID client category	Retail
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	N

Top five execution venues 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
RBC Capital Markets Corporation 549300LCO2FLSSVFFR64	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2019 and 31/12/2019

Company	Schroders Wealth Management (US) Limited
Execution partner type	Broker
MiFID Client category	Retail
Class of instrument	Other instruments
Notification if <1 average trade per business day in the previous year	N

Top five execution venues 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
RBC Capital Markets Corporation 549300LCO2FLSSVFFR64	100%	100%	N/A	N/A	N/A