

RAYMOND JAMES®

RTS 28 DISCLOSURES – 2019

EXCHANGE TRADED PRODUCTS

Client type	Interaction	Class of Instrument	Period start	Period end	Notification if <1 average trade per business day in the previous year
Professional	Placement/transmission	Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities)	01/01/2019	31/12/2019	N
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
RAYMOND JAMES & ASSOCIATES, INC. U4ONQX15J3RO8XCCKE979	57.98	56.81	44.07	16.92	0
COWEN AND COMPANY LLC 549300WR155U7DVMIW58	37.15	41.79	68.15	18.9	0
SOCIETE GENERALE O2RNE8IBXP4R0TD8PU41	4.18	0.82	32.9	66.84	0

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Authorised and regulated by the Financial Conduct Authority

Company No. 3127076