

## RTS 28 Execution Data\*

### Professional clients: Amati AIM VCT plc & TB Amati UK Smaller Companies Fund

Class of Instrument		Equities - Shares & Depository Receipts			
Notification if <1 average trade per business day in the previous year (Y/N)		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
Peel Hunt LEI: 5493007DWN0R4YBM4C84	19.4%	22.6%	0.0%	0.0%	0.0%
Numis Securities LEI: 213800P3F4RT97WDSX47	18.6%	18.6%	0.0%	0.0%	0.0%
Cannacord Genuity ZBU7V5NIMN4ILRFC23	11.4%	11.0%	0.0%	0.0%	0.0%
Panmure Gordon 213800GM8RB7MS4L3Z24	7.1%	6.1%	0.0%	0.0%	0.0%
Goodbody 635400IL71G3SXS7OE16	6.5%	1.8%	0.0%	0.0%	0.0%

### Retail clients: Amati AIM IHT Portfolio Service

Class of Instrument		Equities - Shares & Depository Receipts			
Notification if <1 average trade per business day in the previous year (Y/N)		Y			
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
James Brearley & Sons LEI: 213800ABZ1O2Q65O2834	100.0%	100.0%	0.0%	0.0%	0.0%

\* 1 January 2020 - 31 December 2020

#### Definitions:

"Passive Order"	An order entered into the order book that provided liquidity. Not applicable to Amati Global investors.
"Aggressive Order"	An order entered into the order book that took liquidity. Not applicable to Amati Global Investors.
"Directed Order"	An order where a specific execution venue was specified by the client prior to the execution of the order. Not applicable to Amati Global Investors.
"Volume Traded"	Market value of all relevant trades.
"Orders Executed"	Number of orders executed with a specific broker.