

CG Wealth Planning Limited

RTS 28 Disclosure - year ending 30 November 2019

The Markets in Financial Instruments Directive 2014/65/EU ("MiFID II") requires investment firms to summarise and make public on an annual basis, for each class of financial instruments, the top five investment firms in terms of trading volumes where it transmitted or placed client orders for execution in the preceding year and information on the quality of execution obtained. The following reports have been published in accordance with technical standards as described in Commission Delegated Regulation EU/2017/576 ("RTS 28") for all relevant financial instruments traded by CG Wealth Planning Limited for the year 2019.

During 2019, CG Wealth Planning Limited had a service agreement with SEI Investment (Europe) Ltd ("SEI") for it to provide clearing and settlement, safe custody and dealing services.

Until the end of November 2019, CG Wealth Planning Limited transmitted its client orders to SEI who then routed the order to selected investment firms (e.g. brokers or banks) for execution. At the end of November, CGWPL's discretionary investment management business was transferred to its associate Canaccord Genuity Wealth Limited.

Each of the following tables provides information on the top five investment firms used for CG Wealth Planning Limited's client orders throughout during 2019.

<u>Class of Instrument</u>	<u>Exchange Traded Products</u>				
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 a percentage of total in that class#	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
HSBC Bank PLC (HBEU) (MP615ZYZBEU3UXPYFY54)	100%	100%	0	0	0

<u>Class of Instrument</u>	<u>Equities</u>				
Notification if <1 average trade per business day in the previous year	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 a percentage of total in that class#	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
HSBC Bank PLC (HBEU) (MP615ZYZBEU3UXPYFY54)	100%	100%	0	0	0

Debt instruments

During 2019, a total of 10 transactions in debt instruments were transmitted or placed with another investment firm. 100% of these transactions were transmitted to Winterflood Securities Limited.

*These figures represent the percentage of orders traded by value.

These figures represent the percentage of client orders by the number of trades.

Execution Quality

CG Wealth Planning Limited had no close links, conflicts of interest, or common ownerships in respect of the investment firms with whom client orders were placed.

CG Wealth Planning Limited does not receive payments, discounts, rebates or non-monetary benefits (save for reasonable non-monetary benefits such as refreshments at business meetings) from the investment firms with whom client orders were placed.

CG Wealth Planning Limited categorises all of its clients as Retail Clients. As such there were no differences in how the firm transmitted or placed orders with other investment firms according to client categorisation.

CG Wealth Planning Limited was not able to influence where SEI routed its client orders but was responsible for overseeing the services SEI provided to CG Wealth Planning Limited and its client's.

CG Wealth Planning Limited monitored execution quality in line with its Order Execution Policy.