

## Annual quantitative 'top 5 brokers' disclosure

Firm name: Sound Point Capital Management UK, LLP

Disclosure Period: 01/01/2017 to 31/12/2017

Disclosure type: Professional Clients

This disclosure is being made pursuant to Article 65(6) of the MiFID II Delegated Organisational Regulation, which require firms to disclose, for each class of financial instruments traded on behalf of clients during the period, the top 5 brokers that were used.

Class of Instrument	Bond				
Notification if <1 average trade per business day in the previous year	Yes				
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 traded as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Imperial Capital (International) LLP (LEI: 213800L9V84UL88WAV68)	21.43%	29.82%	0%	0%	0%
Cantor Fitzgerald Europe (LEI: 549300KM6VUHPKQLQX53)	15.11%	15.79%	0%	0%	0%
Morgan Stanley & Co. International PLC (LEI: 4PQUHN3JPFGFNF3BB653)	11.76%	12.28%	0%	0%	0%
SC Lowy Asset Management (UK) Limited (LEI:254900QF4TEKQYQAYH56)	9.00%	8.77%	0%	0%	0%
Jefferies International Limited (LEI:S5THZMDUJCTQZBTRVI98)	5.79%	8.77%	0%	0%	0%

Class of Instrument	Equity				
Notification if <1 average trade per business day in the previous year	Yes				
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 traded as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Vantage Capital Markets LLP (LEI: 2138007ZHUXSGBB53N72)	62.08%	56.25%	0%	0%	0%
BGC Brokers L.P. (LEI: ZWNFQ48RUL8VJZ2AIC12)	31.49%	37.50%	0%	0%	0%
Goldman Sachs & Co. LLC (LEI: FOR8UP27PHTHYVLBNG30)	6.43%	6.25%	0%	0%	0%

Class of Instrument	Credit Default Swaps				
Notification if <1 average trade per business day in the previous year	Yes				
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 traded as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Citigroup Global Markets Inc. (LEI: MBNUM2BPBDO7JBLYG310)	35.71%	33.33%	0%	0%	0%
Morgan Stanley & Co. International PLC (LEI: 4PQUHN3JPFGFNF3BB653)	35.71%	33.33%	0%	0%	0%
J.P. Morgan Securities PLC (LEI: J.P. Morgan Securities PLC)	28.57%	33.33%	0%	0%	0%

Class of Instrument	Options				
Notification if <1 average trade per business day in the previous year	Yes				
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 traded as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Morgan Stanley & Co. International PLC (LEI: 4PQUHN3JPFGFNF3BB653)	100%	100%	0%	0%	0%

Class of Instrument	Asset Backed Securities				
Notification if <1 average trade per business day in the previous year	Yes				
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 traded as a percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Imperial Capital (International) LLP (LEI: 213800L9V84UL88WAV68)	36.32%	25%	0%	0%	0%
Jefferies International Limited (LEI:S5THZMDUJCTQZBTRV98)	63.68%	75%	0%	0%	0%