

Annual quantitative 'top 5 brokers' disclosure

Firm name: Sound Point Capital Management UK, LLP

Disclosure Period: 01/01/2019 to 31/12/2019

Disclosure type: Professional Clients

This disclosure is being made pursuant to Article 65(6) of the MiFID II Delegated Organisational Regulation, which requires 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
Jefferies International Limited (LEI:S5THZMDUJCTQZBTRV198)	18.00%	19.57%	0%	0%	0%
J.P Morgan Securities PLC (LEI:None)	15.50%	15.25%	0%	0%	0%
Citigroup Global Markets Inc. (LEI: MBNUM2BPBDO7JBLYG310)	14.43%	41.18%	0%	0%	0%
DNB Bank ASA (LEI:549300GKFGORYRRQ1414)	10.90%	14.71%	0%	0%	0%
Imperial Capital (International) LLP (LEI: 213800L9V84UL88WAV68)	9.07%	23.08%	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
BGC Brokers L.P. (LEI: ZWNFQ48RUL8VJZ2AIC12)	88.89%	70.00%	0%	0%	0%
Stifel Nicolaus Europe Limited (LEI: 213800BVEFNZ8UYPKL03)	11.11%	30.00%	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
J.P Morgan Securities PLC (LEI:None)	43.29%	57.14%	0%	0%	0%
Intercontinental Exchange Inc. (LEI:5493000F4ZO33MV32P92)	42.51%	28.57%	0%	0%	0%
Goldman Sachs & Co. LLC (LEI: FOR8UP27PHTHYVLBNG30)	14.19%	14.29%	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
Citigroup Global Markets Inc. (LEI: MBNUM2BPBDO7JBLYG310)	57.64%	50.00%	0%	0%	0%
Credit Suisse International (LEI: E58DKGMJYYYJLN8C3868)	42.36%	50.00%	0%	0%	0%