

## Retail Client

### Exchange Traded Products

- a) Price, Cost and Speed are the most important factors Optimus takes into account when determining whether it has achieved best execution. The quality of execution has been high for both Raymond James and Canada Life over the calendar year of 2017;
- b) Optimus does not have close links, conflicts of interests, and common ownerships with respect to any execution venues used to execute orders;
- c) Optimus does not have any specific arrangements with any execution venues regarding payments made or received, discounts, rebates or non-monetary benefits received. We are directed to use Canada Life by a single client whilst Raymond James invoice provide back-office and middle-office support functions as well as trading functions, which Optimus is charge for;
- d) Optimus has not changed any execution venues;
- e) Optimus places Orders on a first come first served basis. Trades were allocated to clients on a basis believed to be fair and equitable; no client received preferential treatment over any other.
- f) No other criteria were given precedence over immediate price and cost when executing retail client orders;
- g) Optimus has not used any data or tools relating to the quality of execution. This includes any data published by trading venues, systematic internalisers, market makers, or other liquidity providers.

### Other Instruments

- a) Price, Cost and Speed are the most important factors Optimus takes into account when determining whether it has achieved best execution. The quality of execution has been high for both Raymond James and Canada Life over the calendar year of 2017;
- b) Optimus does not have close links, conflicts of interests, and common ownerships with respect to any execution venues used to execute orders;
- c) Optimus does not have any specific arrangements with any execution venues regarding payments made or received, discounts, rebates or non-monetary benefits received. We are directed to use Canada Life by a single client whilst Raymond James invoice provide back-office and middle-office support functions as well as trading functions, which Optimus is charge for;
- d) Optimus has not changed any execution venues;
- e) Optimus places Orders on a first come first served basis. Trades were allocated to clients on a basis believed to be fair and equitable; no client received preferential treatment over any other.
- f) No other criteria were given precedence over immediate price and cost when executing retail client orders;
- g) Optimus has not used any data or tools relating to the quality of execution. This includes any data published by trading venues, systematic internalisers, market makers, or other liquidity providers.

## Professional Client

### Equities – shares and depository receipts

- a) Price, Cost and Speed are the most important factors Optimus takes into account when determining whether it has achieved best execution. The quality of execution has been high for both Raymond James and Canada Life over the calendar year of 2017;
- b) Optimus does not have close links, conflicts of interests, and common ownerships with respect to any execution venues used to execute orders;
- c) Optimus does not have any specific arrangements with any execution venues regarding payments made or received, discounts, rebates or non-monetary benefits received. We are directed to use Canada Life by a single client whilst Raymond James invoice provide back-office and middle-office support functions as well as trading functions, which Optimus is charge for;
- d) Optimus has not changed any execution venues;
- e) Optimus places Orders on a first come first served basis. Trades were allocated to clients on a basis believed to be fair and equitable; no client received preferential treatment over any other.
- f) No other criteria were given precedence over immediate price and cost when executing retail client orders;
- g) Optimus has not used any data or tools relating to the quality of execution. This includes any data published by trading venues, systematic internalisers, market makers, or other liquidity providers.

### Exchange Traded Products

- h) Price, Cost and Speed are the most important factors Optimus takes into account when determining whether it has achieved best execution. The quality of execution has been high for both Raymond James and Canada Life over the calendar year of 2017;
- i) Optimus does not have close links, conflicts of interests, and common ownerships with respect to any execution venues used to execute orders;
- j) Optimus does not have any specific arrangements with any execution venues regarding payments made or received, discounts, rebates or non-monetary benefits received. We are directed to use Canada Life by a single client whilst Raymond James invoice provide back-office and middle-office support functions as well as trading functions, which Optimus is charge for;
- k) Optimus has not changed any execution venues;
- l) Optimus places Orders on a first come first served basis. Trades were allocated to clients on a basis believed to be fair and equitable; no client received preferential treatment over any other.
- m) No other criteria were given precedence over immediate price and cost when executing retail client orders;
- n) Optimus has not used any data or tools relating to the quality of execution. This includes any data published by trading venues, systematic internalisers, market makers, or other liquidity providers.

### Other Instruments

- a) Price, Cost and Speed are the most important factors Optimus takes into account when determining whether it has achieved best execution. The quality of execution has been high for both Raymond James and Canada Life over the calendar year of 2017;
- b) Optimus does not have close links, conflicts of interests, and common ownerships with respect to any execution venues used to execute orders;
- c) Optimus does not have any specific arrangements with any execution venues regarding payments made or received, discounts, rebates or non-monetary benefits received. We are directed to use Canada Life by a single client whilst Raymond James invoice provide back-office and middle-office support functions as well as trading functions, which Optimus is charge for;
- d) Optimus has not changed any execution venues;
- e) Optimus places Orders on a first come first served basis. Trades were allocated to clients on a basis believed to be fair and equitable; no client received preferential treatment over any other.
- f) No other criteria were given precedence over immediate price and cost when executing retail client orders;
- g) Optimus has not used any data or tools relating to the quality of execution. This includes any data published by trading venues, systematic internalisers, market makers, or other liquidity providers.