



Version 01/17

Order Execution Policy

Introduction

We have a general duty to conduct our business with you honestly, fairly, and professionally and to act in your best interests when receiving and transmitting orders. We are required to take all reasonable steps to obtain the best possible result for our clients, taking into account factors such as price, costs, speed, likelihood of execution and settlement, size, nature, or any other consideration relevant to executing an order.

Does StocktiX Ltd have a duty to provide Best Execution?

Yes. StocktiX Ltd acts as Principal and directly executes client orders. As a firm that provides execution services, we are fully committed to achieving the best possible outcomes for our clients.

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Securities and Exchange Commission (SEC). StocktiX Ltd, Registered office: 370 17th St, Denver, CO 80202.

To fulfill this responsibility, StocktiX Ltd actively manages and oversees the execution of all client orders, ensuring that they are handled promptly, efficiently, and in alignment with our 'Best Execution Policy.' This includes considering factors such as price, costs, speed, likelihood of execution and settlement, order size, nature, and any other relevant circumstances to ensure the best possible results.

By acting as an execution broker, StocktiX Ltd assumes full accountability for all transactions executed on behalf of its clients and ensures that its policies and procedures are designed to consistently deliver optimal execution quality.

What duties does StocktiX Ltd have in respect of Best Execution under SEC?

In accordance with guidance under the SEC (Securities and Exchange Commission), StocktiX Ltd has a duty to maintain policies and procedures to ensure that every order it executes meets the best execution standards.

This includes a robust internal framework to identify, monitor, and improve its execution practices.

We consistently review our execution processes to ensure they meet the expectations of both our clients and SEC requirements. In doing so, we evaluate the following key factors:

1. Execution quality across different financial instruments.
2. Effectiveness of execution policies and procedures.
3. The ability to provide consistently competitive pricing and execution speed.

By maintaining high standards, StocktiX Ltd ensures that its clients receive the best possible outcomes for their transactions.

Selecting the Clearing and Executing Brokers ('Entities')

While StocktiX Ltd primarily acts as an execution broker, we may collaborate with clearing entities to

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facilitate certain transactions. The selection of such entities involves a rigorous process where we evaluate several factors, including but not limited to:

1. Dealing Platforms
2. Range of Markets
3. Commercial Terms
4. Quality of Service
5. Spreads, Quotes, Quality of IT, and Price Systems
6. Back Office, Administration
7. Approach to Treating Customers Fairly
8. Quality of Execution and ability to maintain high standards of execution

We ensure that all selected entities align with our commitment to deliver best execution to clients. By working closely with these entities, we maintain accountability and ensure that every transaction adheres to our high-quality execution standards.