

Morgan Stanley Investment
Management
Retail-DR65-Excl. SFTs

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Owner

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1 Commodities derivatives and emission allowances derivatives

1.1 Options and futures admitted to trading on a trading venue (Category 1)

Class Of Instrument	Commodities derivatives and emission allowances Derivatives:Options and Futures admitted to trading on a trading venue	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

1.2 Other commodities derivatives and emission allowances derivatives (Category 2)

Class Of Instrument	Commodities derivatives and emission allowances Derivatives:Other commodities derivatives and emission allowances derivatives	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

2 Credit Derivatives

2.1 Other credit derivatives (Category 3)

Class Of Instrument	Credit derivatives:Other credit derivatives	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

3 Currency Derivatives

3.1 Futures and options admitted to trading on a trading venue (Category 4)

Class Of Instrument	Currency derivatives:Futures and options admitted to trading on a trading venue	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

3.2 Swaps, forwards and other currency derivatives (Category 5)

Class Of Instrument	Currency derivatives:Swaps, forwards, and other currency derivatives	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

4 Debt Instruments

4.1 Bonds (Category 6)

Class Of Instrument	Debt Instruments:Bonds	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

4.2 Money Market Instruments (Category 7)

Class Of Instrument	Debt Instruments: Money Market Instruments	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

5 Equities – Shares and Depository Receipts

5.1 Equities Tick Size Bands 1 & 2 (Category 8.1)

Class Of Instrument	Equities - Shares & Depository Receipts: N/A :- Tick Size Bands 1 and 2 (from 0 to 79 trades per day)	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

5.2 Equities Tick Size Bands 3 & 4 (Category 8.2)

Class Of Instrument	Equities - Shares & Depository Receipts: N/A :- Tick Size Bands 3 and 4 (from 80 to 1999 trades per day)	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

5.3 Equities Tick Size Bands 5 & 6 (Category 8.3)

Class Of Instrument	Equities - Shares & Depositary Receipts:N/A :- Tick Size Bands 5 and 6 (from 2000 trades per day)	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

6 Equity Derivatives

6.1 Options and Futures admitted to trading on a trading venue (Category 9)

Class Of Instrument	Equity derivatives:Options and Futures admitted to trading on a trading venue	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

6.2 Swaps and other equity derivatives (Category 10)

Class Of Instrument	Equity derivatives:Swaps and other equity derivatives	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

7 Exchange Traded Products

7.1 Funds, notes and commodities (Category 11)

Class Of Instrument	Exchange traded products (funds, notes and commodities):N/A	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

8 Interest Rate Derivatives

8.1 Swaps, forwards, and other interest rate derivatives (Category 12)

Class Of Instrument	Interest rates derivatives: Swaps, forwards, and other interest rates derivatives	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

8.2 Futures and options admitted to trading on a trading venue (Category 13)

Class Of Instrument	Interest rates derivatives: Futures and options admitted to trading on a trading venue	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

9 Other Instruments

9.1 Other Instruments (Category 15)

Class Of Instrument	Other instruments:N/A	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class

10 Structured Finance Instruments

10.1 Structured Finance Instruments (Category 16)

Class Of Instrument	Structured finance instruments:N/A	
Notification if <1 average trade per business day in the previous year	Y	
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 percentage of total in that class