

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Currency derivatives – Swaps, forwards, and other currency derivatives
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Schroder & Co. Bank AG 1N66B6IZ3PPGHI6ZZQ73	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Debt instruments - Bonds
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	100%	100%	16%	1.5%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Equities – Shares & Depositary Receipts – Tick size liquidity band 1 and 2 (from 0 to 79 trades per day)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	53%	73%	11%	1.1%	N/A
Swiss Blue Chip XVTX	47%	27%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Equities – Shares & Depository Receipts – Tick size liquidity bands 3 and 4 (from 80 to 1999 trades per day)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	84%	75%	5.9%	0.8%	N/A
Swiss Blue Chip XVTX	16%	25%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Equities – Shares & Depository Receipts – Tick size liquidity bands 5 and 6 (from 2000 trades per day)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Swiss Blue Chip XVTX	94%	92%	3.4%	6.7%	N/A
SIX Swiss Exchange XSWX	6.2%	7.6%	N/A	0.2%	N/A
Exane Paris 969500UP76J52A9OXU27	0.3%	0.0%	100%	100%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange EUR XSWX	59%	2.1%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	32%	36%	N/A	9.7%	N/A
SIX Swiss Exchange Other Currencies XSWX	5.0%	61%	N/A	2.5%	N/A
SIX Swiss Exchange USD XSWX	4.1%	1.2%	N/A	6.9%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Other instruments
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	100%	100%	N/A	5.3%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Securitized Derivatives - Other securitized derivatives
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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Venue
MiFID client category	Not Applicable
Class of instrument	Securitized Derivatives - Warrants and Certificate Derivatives
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
SIX Swiss Exchange XSWX	58%	63%	N/A	N/A	N/A
Scoach Switzerland XSWX	42%	37%	2.7%	4.5%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID Client category	Not Applicable
Class of instrument	Commodities Derivatives - Options and Futures admitted to trading on a trading venue
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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
UBS AG Opfikon 549300WOIFUSNYH0FL22	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID Client category	Not Applicable
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	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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Forex Options and NDF Deals 1N66B6IZ3PPGHI6ZZQ73	100%	100%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID Client category	Not Applicable
Class of instrument	Debt instruments - Bonds
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Bridport & Cie AS 213800VGFKO4K5IJIUI20	27%	33%	N/A	N/A	N/A
Bondpartners Lausanne 391200DMGAI5C0MDYA12	20%	19%	N/A	N/A	N/A
Valcourt St. Peter Port 213800QCVQCX88M5U770	20%	39%	N/A	N/A	N/A
RBC London TXDSU46SXBWIGJ8G8E98	6.5%	0.7%	N/A	N/A	N/A
Deutsche Bank AG London 7LTWFZYICNSX8D621K86	4.7%	0.7%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Debt instruments - Money markets instruments
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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Toronto Dominion London PT3QB789TSUIDF371261	87%	98%	N/A	N/A	N/A
UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22	3.0%	0.1%	N/A	N/A	N/A
Bridport & Cie SA 213800VGFKO4K5IJUI20	2.7%	1.2%	N/A	N/A	N/A
Bondpartners Lausanne 391200DMGAI5C0MDYA12	2.6%	0.6%	N/A	N/A	N/A
HSBC Sec. London MP6I5ZYZBEU3UXPYFY54	1.9%	0.0%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Equities – Shares & Depository Receipts - Tick size liquidity band 1 and 2 (from 0 to 79 trades per day)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	0.1%
Pictet Canada LP Montreal 549300ZW5W660U16FP37	60%	27%	0.4%	0.9%	N/A
Exane Paris 969500UP76J52A9OXU27	18%	15%	0.6%	0.3%	N/A
Macquarie Bank Ltd 549300GX4FPMFF91RJ37	16%	8.5%	N/A	N/A	N/A
Investec UK GBP Funds DST 84S0VF8TSMH0T6D4K848	1.5%	0.0%	N/A	N/A	N/A
Canaccord Ltd London ZBU7V5NIMN4ILRFC23	1.1%	1.1%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Equities – Shares & Depository Receipts - Tick size liquidity bands 3 and 4 (from 80 to 1999 trades per day)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Pictet Canada LP Montreal 549300ZW5W660U16FP37	66%	63%	0.2%	1.0%	N/A
Exane Paris 969500UP76J52A9OXU27	17%	32%	1.7%	2.6%	N/A
Numis Securities Ltd 213800P3F4RT97WDSX47	7.5%	0.3%	N/A	N/A	N/A
UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22	2.9%	1.1%	N/A	N/A	N/A
Canaccord Ltd London ZBU7V5NIMN4ILRFC23	1.6%	0.9%	N/A	13%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Equities – Shares & Depository Receipts - Tick size liquidity bands 5 and 6 (from 2000 trades per day)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Exane Paris 969500UP76J52A9OXU27	92%	96%	0.3%	2.6%	N/A
UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22	2.4%	0.4%	N/A	N/A	N/A
Canaccord Ltd London ZBU7V5NIMN4ILRFC23	2.3%	0.4%	N/A	N/A	N/A
BTIG Ltd London 213800YZXS7U4QZP6441	1.4%	3.4%	N/A	N/A	N/A
Shore Capital Stockbrokers Ltd 2138009KZO3MK7TV6372	0.9%	0.0%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
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	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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
UBS AG Opfikon 549300WOIFUSNYH0FL22	95%	100%	N/A	N/A	N/A
Schroder Abklärungskonto Börse 1N66B6IZ3PPGHI6ZZQ73	5.1%	0.2%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities)
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Exane Paris 969500UP76J52A9OXU27	72%	53%	0.4%	1.6%	N/A
Itg Inc. New York	7.6%	0.1%	N/A	N/A	N/A
Schroder Broker Pro-Div.	6.5%	0.1%	N/A	N/A	N/A
Canaccord Ltd London ZBU7V5V5NIMN4ILRFC23	4.4%	15%	1.9%	0.9%	N/A
Pictet Canada LP Montreal 549300ZW5W660U16FP37	3.6%	2.6%	N/A	1.1%	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Other instruments
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Schroder Broker Pro-Div.	17%	48%	N/A	N/A	N/A
Schroder LU HSBC (ex SIMLU)	16%	9.7%	N/A	N/A	N/A
UBS FX and Fonds Zurich 549300WOIFUSNYH0FL22	5.9%	0.9%	N/A	N/A	N/A
GLG Partners Asset Mgt Ltd	5.3%	0.1%	N/A	N/A	N/A
JPMorgan Asset Mgt (Europe) Sarl	4.4%	7.5%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Securitized Derivatives - Other securitized derivatives
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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Leonteq Securities AG	58%	10%	N/A	N/A	N/A
Soc.Générale Paris O2RNE8IBXP4R0TD8PU41	17%	1.1%	N/A	N/A	N/A
Exane Paris 969500UP76J52A9OXU27	7.6%	32%	N/A	N/A	N/A
RBC London TXDSU46SXBWIGJ8G8E98	7.2%	0.6%	N/A	N/A	N/A
UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22	5.4%	55%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Securitized Derivatives - Warrants and Certificate Derivatives
Notification if <1 average trade per business day in the previous year	No

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	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Leonteq Securities AG	66%	28%	N/A	N/A	N/A
UBS (Switzerland) AG Zuerich 549300WOIFUSNYH0FL22	11%	33%	N/A	N/A	N/A
Soc.Générale Paris O2RNE8IBXP4R0TD8PU41	6.6%	6.7%	N/A	N/A	N/A
Julius Bär Brokerage Zuerich	2.7%	1.5%	N/A	N/A	N/A
BNP Paribas SA Paris R0MUWSFPU8MPRO8K5P83	2.6%	3.5%	N/A	N/A	N/A

MiFID Top 5 Venues between 01/01/2018 and 31/12/2018

Company	Schroder & Co. Bank AG
Execution partner type	Broker
MiFID client category	Not Applicable
Class of instrument	Structured finance instruments
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 executed as percentage of total in that class	Percentage of passive orders	Percentage of aggressive orders	Percentage of directed orders
Schroder & Co. Bank AG	100%	100%	N/A	N/A	N/A
Bondpartners Lausanne 391200DMGAI5C0MDYA12	60%	38%	N/A	N/A	N/A
Valcourt St. Peter Port 213800QCVQCX88M5U770	32%	46%	N/A	N/A	N/A
ISP Securities	5.6%	7.7%	N/A	N/A	N/A
Soc.Générale Paris O2RNE8IBXP4R0TD8PU41	2.3%	7.7%	N/A	N/A	N/A