

Appendix 2 – Classes of Financial Instrument as per Annex 1 of RTS 28 (based on 2020 data)	DIRECT EXECUTION: Firm executes trades in this instrument directly	INDIRECT EXECUTION: Firm transmits orders in this instrument to custodians/brokers to execute	NOT APPLICABLE: Firm does not trade in this instrument
<b>(a) Equities – Shares &amp; Depositary Receipts</b>			
(i) Tick size liquidity bands 5 and 6 (from 2000 trades per day)			X
(ii) Tick size liquidity bands 3 and 4 (from 80 to 1999 trades per day)			X
(iii) Tick size liquidity band 1 and 2 (from 0 to 79 trades per day)		X	
<b>(b) Debt instruments</b>			
(i) Bonds		X	
(ii) Money markets instruments		X	
<b>(c) Interest rates derivatives</b>			
(i) Futures and options admitted to trading on a trading venue		X	
(ii) Swaps, forwards, and other interest rates derivatives		X	
<b>(d) credit derivatives</b>			
(i) Futures and options admitted to trading on a trading venue		X	
(ii) Other credit derivatives		X	
<b>(e) currency derivatives</b>			
(i) Futures and options admitted to trading on a trading venue		X	
(ii) Swaps, forwards, and other currency derivatives		X	
<b>(f) Structured finance instruments</b>		X	

<b>(g) Equity Derivatives</b>			
(i) Options and Futures admitted to trading on a trading venue		X	
(ii) Swaps and other equity derivatives		X	
<b>(h) Securitized Derivatives</b>			
(i) Warrants and Certificate Derivatives		X	
(ii) Other securitized derivatives		X	
<b>(i) Commodities derivatives and emission allowances Derivatives</b>			
(i) Options and Futures admitted to trading on a trading venue			X
(ii) Other commodities derivatives and emission allowances derivatives			X
<b>(j) Contracts for difference</b>		X	
<b>(k) Exchange traded products (Exchange traded funds, exchange traded notes and exchange traded commodities)</b>		X	
<b>(l) Other MiFID II instruments:</b>			
(i) units in unlisted investment funds		X	
<b>(m) Other instruments outside the scope of MiFID II:</b>			
(i) Funds		X	

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Appendix 3 – List of Execution Venues and Custodians on which significant reliance is placed (based on 2020 data)	EXECUTION VENUES:	Depository:
<b>(a) Equities</b>		
		RBC
		CACEIS
		EDR
<b>b) Debt</b>		RBC
		CACEIS
		EDR
<b>(g) Equity Derivatives</b>		SOCIETE GENERALE
		RBC
		BRITANNIA
<b>(h) Securitized Derivatives</b>		INTERACTIVE BROKER
		SOCIETE GENERALE
		EDR
<b>(k) Exchange Traded Products</b>		SOCIETE GENERALE
		RBC
		EDR
<b>(m) Other MiFID II instruments:</b>		SOCIETE GENERALE
		RBC
		EDR